

THE OHIO STATE UNIVERSITY
OFFICIAL PROCEEDINGS OF THE
ONE THOUSAND THREE HUNDRED AND SEVENTY-FIRST MEETING
OF THE BOARD OF TRUSTEES

Columbus, Ohio, April 6, 2001

The Board of Trustees met at its regular monthly meeting on Friday, April 6, 2001, at The Ohio State University Marion Campus, Marion, Ohio, pursuant to adjournment.

**

**

**

Minutes of the last meeting were approved.

**

**

**

April 6, 2001 meeting, Board of Trustees

The Chairman, Mr. Skestos, called the meeting of the Board of Trustees to order on April 6, 2001, at 10:05 a.m. He requested the Secretary to call the roll.

Present: George A. Skestos, Chairman, David L. Brennan, James F. Patterson, Zuheir Sofia, Tamala Longaberger, Daniel M. Slane, Robert M. Duncan, Karen L. Hendricks, Dimon R. McFerson, Jaclyn M. Nowakowski, and Kevin R. Filiatraut.

--0--

Mr. Skestos:

I would like to welcome everyone to the April meeting of the Board of Trustees. We are delighted to be here at the OSU-Marion Campus. On behalf of my fellow members of the Board and President Kirwan, I want to thank Dean Dottavio and his staff for their help in bringing this to pass.

As part of today's agenda, we will be hearing more about the Marion Campus in the presentation on the Regional Campus Experience, but first, I would like to call on President Kirwan for his report.

PRESIDENT'S REPORT

President William E. Kirwan:

Thank you, Mr. Chairman and members of the Board. It is a great pleasure for all of us to be here today on this wonderful campus. This campus, like the other regional campuses, provides just a wonderful learning atmosphere for so many students, an opportunity for them to get an education in a small campus setting and yet be part of the resources and the diversity of a large, major university.

As you mentioned, Mr. Chairman, in a few moments we will be hearing from Dean Dottavio who will talk about some of the wonderful programs going on here at the Marion Campus.

The first issue that I have to address to the Board today is one featured prominently in the news. It's an issue that concerns me greatly, not just for Ohio State but, more generally, for the well-being of the State of Ohio. The issue is the state's struggle to resolve the DeRolph case and the potential implications for other state agencies, including higher education. Currently, we're in a state of uncertainty with new developments occurring almost daily, but I'd like to provide you with my perspectives on where things stand today and where we stand is not a good place.

In preparation for the consideration of our next biennial operating budget, other University officials and I have spent many hours doing all we can to convince the Governor and the members of the General Assembly that we must adequately fund higher education in Ohio. As you know, we currently rank 40th in the nation in state support to our public universities.

Interestingly, as a state, we rank much higher, twenty-first to be precise, in K-12 spending per pupil. Going into the current budget cycle, the Board of Regents had recommended to the Governor a 17 percent increase in funding for higher education. However, because of his commitment to resolve the DeRolph case, the shortfall in Medicaid funding, and the decline in the state's economy, the Governor put forth a bare bones budget for higher education, which included just a 1.2 percent increase in the state share of instruction at Ohio State for fiscal year 2002.

PRESIDENT'S REPORT (contd)

President Kirwan: (contd)

This was a great disappointment to us, but now even this very modest increase is in grave jeopardy. The price tag for addressing DeRolph is likely to increase by at least \$600 million over the Governor's original proposal and state revenue estimates have dropped by about \$700 million. The net effect is that, unless the state decides to increase revenue by some means, the rest of the state budget will have to absorb a reduction of \$1.3 billion or more.

This is a staggering number. Indeed, such a reduction would require, on average, an 11 percent reduction from all state agencies other than K-12. Cuts of this magnitude would have a devastating impact on higher education and the other agencies. Compounding our troubles, the Governor just announced a one percent cut in all state agencies' budgets, except K-12, for the current fiscal year.

Since we are three-fourths of the way through the fiscal year, this is the equivalent of a four percent cut in our funds for the rest of the year. That amounts to a \$3.2 million reduction in state-supported instruction alone. Just to put that in perspective, \$3.2 million could mean: 735 full-tuition scholarships for needy students, or 24,000 seats in closed courses, or 90,000 additional academic advisors, or 4,000 new computers for our public labs.

As a result of these cuts, we're now redoubling our efforts and meeting daily with members of the General Assembly to reverse as best we can this difficult situation. With several other presidents, I have also met with the editorial boards of all the state's major newspapers to give them our perspectives on the situation. Their response has been gratifying. Let me share a few of the comments from the editorials on this subject.

The March 29 issue of the *Plain Dealer* wrote, "Taft and the legislature must mightily resist an urge to balance the existing budget on the backs of Ohio's public colleges and universities." The April 1 Akron *Beacon Journal* wrote, "The Statehouse can't keep shorting higher education without damage to the seamless education its leaders say they want." The March 31 Cincinnati *Enquirer*, "Few things provide as high a return for the state's tax dollars as higher education." In the April 1 issue of the Columbus *Dispatch*, "Ohio ranks 40th in the nation in higher education funding, which is woefully inadequate."

Later today you will hear about a benchmarking study regarding faculty compensation. As you know, competitive compensation for our faculty and staff is a top priority in the Academic Plan. I'm sorry to say this report paints a discouraging picture of where we stand at Ohio State in relation to our benchmarked peers and given the current budget situation, we run the serious risk of falling even further behind these universities.

It's no exaggeration to say that this budget dilemma, if it plays out as now projected, will touch everyone in Ohio. Over the coming weeks, we will continue to work very diligently to make sure that our legislators see clearly the choice before them. Either we can adequately fund higher education and create a total education system that will be our number one tool for building a brighter future in Ohio, or we can keep under funding higher education at the risk of losing many outstanding high school graduates and world-class faculty to universities in other states. If that happens, Ohio's prospects for success in the information age will be dim indeed.

One important question is, "What impact all this will have on our Academic Plan?" My view is that this drop in our fiscal fortunes makes the plan more, not

PRESIDENT'S REPORT (contd)

President Kirwan: (contd)

less, important. It's my intention to move forward with our plan, utilizing whatever level of funding we're provided. We may have to move more slowly than we had hoped; we may have to focus most of our funds on a few priority initiatives, but we must not let what is surely a temporal funding problem divert us from our aspirations.

I want to assure the Board that however our budget issues may be resolved, we will continue to implement the Academic Plan as best we can, and we will do what we can to continue Ohio State's progress into the top rank of America's universities.

As news on state funding continues to unfold, we will, of course, take steps to keep the Board of Trustees and the entire University community updated and informed. One of the cruel ironies for us is that our fiscal troubles arise just as we are making phenomenal progress toward our goals for academic excellence.

Let me give you a few examples. A vital component of our Academic Plan, and one that requires adequate funding, is the hiring and promotion of world-class faculty and staff. I'm pleased to announce that we've made more good progress lately on this front. First, after losing an outstanding leader in David Ashley as dean of the College of Engineering, we were very fortunate to already have on board the ideal candidate to fill Dean Ashley's shoes. With the approval of the Board today, our new dean of the College of Engineering will be James Williams.

Dr. Williams is a member of the National Academy of Engineering, and he's currently Ohio State's Honda Chair for Transportation in the Department of Materials Science and Engineering. He has an extraordinary record of accomplishments as a scholar, and his management experience includes success as dean of engineering at Carnegie-Mellon University and as a general manager of the General Electric aircraft engines. He is a tremendous resource in the College of Engineering and his availability for this position is an excellent example of the benefits of building strong depth throughout the faculty.

We've added to that depth of talent with other exceptional individuals whose appointments will be coming to the Board for approval. The first is Dr. Joel Saltz, a distinguished scientist from Johns Hopkins, and one of the world's foremost experts in high performance computing. He'll chair the soon to be formed Department of Medical Informatics, a discipline that integrates information research and management into the practice of medicine.

Another truly outstanding new department chair will be Kenneth Goings, who will chair the Department of African-American and African Studies. He is currently the chair of the Department of History and Dunavant University Professor at the University of Memphis. With a master's and doctorate degree from Princeton, he is the recipient of a Rockefeller Foundation grant, and two of his books have won awards for being the year's outstanding books on the subject of human rights.

Yet another exceptional new recruit is Professor Clark Larsen who will become the chair of the Department of Anthropology. Dr. Larsen is now at the University of North Carolina where he holds the Amos Hawley Distinguished Professorship.

Finally, I want to mention a new hire made possible by the Selective Investment in the English department -- Professor Alastair Minnis. Professor Minnis is one of the world's leading authorities on medieval literature and culture. He is currently the director for the Centre for Medieval Studies at the University of York in Great

PRESIDENT'S REPORT (contd)

President Kirwan: (contd)

Britain; has served as head of the Department of English and Related Literature at York; and last spring he was a visiting professor at the University of California–Berkeley. With 13 highly influential books, he has a great international reputation as a scholar's scholar, and he is a tremendous addition to an already strong English department.

The quality of our faculty, of course, directly correlates with the quality of our programs and we recently received more good news about how those programs are perceived in relation to other universities. *U.S. News and World Report* released their rankings of graduate and professional programs this week, and many of Ohio State's programs were cited among the best in the nation, among both public and private universities.

I think it's very important to note that, among Ohio State's programs that the magazine ranks as being among the nation's best, four are also recipients of Selective Investment awards: Political Science was ranked fifteenth, among both public and private universities; History was ranked twenty-fifth; Psychology was ranked twenty-fifth; and Law was ranked fortieth. In fact, this was the first time ever that our History department broke into the *U.S. News* rankings. What a great testament for the Selective Investment.

Some of the highest rankings were in the College of Education, which was ranked eleventh in the nation; and our specialty programs ranked: third in elementary education; second in secondary education; and first in vocational education.

A few of the other rankings -- in addition to our Political Science program moving from eighteenth to fifteenth in the nation, it ranks sixth among all public universities; and the program in American Politics ranks seventh among all universities. The Fisher College of Business ranked twenty-third overall among 341 institutions with MBA programs. The College tied for sixth among public universities and is the only Ohio business school ranked in the top twenty-five.

The Department of Sociology ranked twenty-first; the College of Engineering ranked twenty-fourth; and the College of Medicine and Public Health ranked fortieth out of 125. These are encouraging rankings, especially given the fact, as I mentioned, that Ohio ranks fortieth in the nation, and last among Big Ten states, in state support for higher education.

However, as our Academic Plan sets forth, we are by no means satisfied with these rankings. Over the next several years, I hope we will continue to work diligently to raise these rankings towards our 20/10 goal and to move our undergraduate rankings into the top tier.

Finally, it's always a pleasure to share with you a few of the many accomplishments of our extraordinary students. First, the National Alpha Lambda Delta honor society awarded 19 graduate fellowships to outstanding students across the nation and two of these recipients were Ohio State honor students.

Rosa Ailabouni, from Columbus, will be graduating this spring with majors in international studies, French, and political science. She's spending most of Spring Quarter in France, finishing the research for her senior honors thesis. The other winner, Justin Miller, from Celina, is majoring in economics and plans

PRESIDENT'S REPORT (contd)

President Kirwan: (contd)

to begin law school in the fall. He also currently serves as president of the Mortar Board National Senior Honor Society.

Also, I'd like to commend the Ohio State student team who won first place in the Quiz Bowl at the 2001 Academic Competition of the American Society of Animal Science and the American Dairy Science Association. The students on the team were Troy Lyons, Ross Larue, Kim Lambert, and Sandra Gruber.

Finally, and certainly not least, I'd like to formally congratulate Beth Burns and the Ohio State women's basketball team for their amazing, fantastic NIT Championship victory. Talk about overcoming adversity. What an incredible job these women did. It had to be one of the most exciting championships I've ever seen, and the Buckeyes were incredible, rallying from a 12-point deficit before 18,000 hostile fans. So my congratulations go to Beth, to Jamie Lewis -- tournament MVP -- and to the entire squad for an extraordinary team effort.

That concludes my report, Mr. Chairman.

--0--

THE REGIONAL CAMPUS EXPERIENCE: A FOCUS ON MARION

Dean F. Dominic Dottavio:

First let me say how grateful and thankful we are to each of you, the Trustees and President Kirwan, for providing us the opportunity to discuss the Marion Campus. By way of introduction, what I'm going to do is talk about a few things that I think are really special about this campus, and then I will ask two of our best and brightest students, Curtis Tuggle and Jillian Bores, and one of our outstanding community partners, Theresa Lane from Verizon, to talk to you about some of their experiences with our campus.

There are four points about our campus that I would like you to leave here with today: 1) we are intently focused on our students; 2) we have tremendous community partners; 3) some great things are happening in the area of diversity; and 4) the faculty, staff, and community take a great deal of pride in this campus and being a part of The Ohio State University.

The first point is our focus on students. We pay very serious attention to what students tell us is most important to them, and consistently at the very top of that list is the quality of teaching on the campus. As an aside, typically the second most important thing to them is free parking, within three minutes of any of their classrooms.

A numerical indicator of the quality of teaching on the Marion Campus is that in the past five years, our faculty have received seven Distinguished Teaching Awards. That is truly a remarkable number when you consider the number of faculty on this campus compared to the larger University. In fact, if you play the laws of average on something like this for the number of faculty we have compared to the rest of the University, we figure we have a teaching award now that is not going to be due for the next 231 years.

The second point that I think helps define the Marion Campus is the strength of the partnerships with our community. All of the regional campuses were established because of the will of the people in their communities. Over the

THE REGIONAL CAMPUS EXPERIENCE: A FOCUS ON MARION (contd)

Dean Dottavio: (contd)

years, I believe the bonds have grown deeper and broader in ways that we really could not have understood when the campuses were established back in the 1950s and 1960s.

Theresa will be discussing partnership ideas with you, so I would just like to cite some examples: literacy and diversity partnerships with Verizon, Whirlpool, Wyandot, and Clear Channel Communications; and Adelphia Cable has been very supportive of our cultural arts programs. The city and county schools, and the local Rotary Club have developed a College Access Program and partnership with us. This program is serving as a model by the Ohio Board of Regents for other communities around the state. Companies such as Kalmbach Feeds, Inc. and SubmitOrder.com have been actively involved with us in work force training and development.

My third point relates to the impact of our diversity initiatives and how they are having a major impact on our community. While the region only has a three percent minority population -- in some of the counties we serve there is less than one percent minority population -- we've had several significant programs that have made a difference in the past few years.

One program I'd like to particularly call your attention to is Growing Our Own. This program is to address a serious minority teacher shortage in the Marion City Schools system. There are a number of components to it: mentoring, curriculum development, and climate. One thing that I'd really like you to note is that a major component is to provide full-ride scholarships to education majors who attend OSU-Marion. The thing that comes out the backside is that when these students graduate, they're guaranteed employment in the Marion City Schools.

This past year, Verizon helped make this possible with a \$10,000 gift to our minority scholarship program. I might add, too, that next month the Growing Our Own program is going to be one of the five recipients of a Distinguished Diversity Enhancement Award, one of four we've received in the past six years.

The final point about our campus is the enormous spirit and enthusiasm for Ohio State that exists here and, I believe, on all of the regional campuses. I know some of you have served as representatives to the regional campus boards of trustees and have discovered that enthusiasm for yourselves. For the Marion Campus, I think a wonderful testimonial to the enthusiasm of our faculty and staff is that this past year, our campus had the highest participation rate in the annual Campus Campaign, with 78 percent of our employees contributing to the campaign. That was the number one giving unit in the University.

Then a very tangible example of our community support is the \$10 million endowment that was left by George Alber to the campus. Because of the Alber endowment, Marion County high school students who graduate in the top half of their class can come to Marion Campus and pay the lowest tuition among all 37 state-supported university campuses in Ohio. I think that is a tremendous legacy of support from a community.

As I conclude with spirit and enthusiasm, I think it's appropriate, then, to turn to two students who I think have demonstrated an enormous amount of spirit, enthusiasm, and pride in the campus.

First I'd like to introduce to you Curtis Tuggle. Curtis has been on the Marion Campus for his entire Ohio State career and will be graduating in psychology this

THE REGIONAL CAMPUS EXPERIENCE: A FOCUS ON MARION (contd)

Dean Dottavio: (contd)

summer with a 3.97 GPA. Curtis was a student trustee on our board of trustees last year, and he has been accepted to the Ohio State law school for this fall. Curtis --

Mr. Curtis Tuggle:

Thank you, Dean Dottavio, and just let me say "welcome." It's so refreshing to see all of you coming here to our campus and meeting today.

At a time when we seem to be focused on the stock market, economy, and how companies are doing and what type of productivity they're experiencing, it reminded me of a story of a young boy. Monday was the boy's first day at school and he came home, very excited and eager about being there, and each day that followed, he seemed to enjoy it even more. Then Friday came, and the boy returned home despondent. "Mom," he said, "I've been laid off for two days."

On a more serious note, I think what that boy illustrates is a real passion, enthusiasm, and excitement for learning and education, and it's the same passion and excitement that I've had here being on the Marion Campus and working toward my degree. I think that there's one overall concept that really explains that energy and that excitement very well. I think it's a bond and an attachment that students have, not only to The Ohio State University, but to the Marion Campus and the people that are here that work with them all the time.

There are three basic areas that I can reflect back on that bond -- people, resources, and opportunities. When I talk about people, the dean mentioned that seven faculty members here on this campus have received the Distinguished Teaching Award. Now what does that mean from a student's perspective? What does it mean to take a class from someone that's been recognized as an outstanding educator?

I remember one of the very first classes I had on this campus was an honors psychology course in a room on the second floor upstairs. There were 15 of us -- I can still remember some of the names -- and we sat around a table and talked about psychology. Dr. Daniel J. Christie guided us in exploring concepts that we could easily see related to our lives. His spirit, energy, and expertise convinced me to change my major. I was a political science major and after that one quarter, that one class, I was confident that I had chosen the right place to start my education. I changed my major to a psychology degree. That's what a Distinguished Teaching Award winner can really do. It can make education alive and really worthwhile. You can see the great benefit of it.

Another professor that received a Distinguished Teaching Award on this campus was Dr. Terry Pettijohn -- I can name all seven faculty members. Not only can a student here at this campus take one course from a faculty member who's won a Distinguished Teaching Award, but they can take multiple courses that that faculty member offers. They can also take multiple courses from other faculty members who have won the Distinguished Teaching Award. So that's just a remarkable opportunity that I think we really appreciate here on this campus.

When I talk about the people and other resources that are available on this campus, I think of technology. Some of the faculty members are on the leading edge of using technology to enhance education. Dr. Teresa Mensing has been certified as a Web CT trainer and over half of the full-time faculty are using Web CT in some form of their instruction. So that means that here on this campus

THE REGIONAL CAMPUS EXPERIENCE: A FOCUS ON MARION (contd)

Mr. Tuggle: (contd)

students are learning how to use technology and they're receiving instruction through technology. I really believe that they're way out ahead. Even our part-time faculty use that type of technology and enhanced instruction, too. I think that speaks volumes.

On another personal scale, we have an Academic Enrichment Center that offers free tutoring and assistance to students having difficulty in particular areas. We have a full-time math person who helps out the tutor as well. What does that mean? It means that some of our non-traditional students who haven't had algebra for maybe 15-20 years have an opportunity to learn about those concepts that otherwise would not be possible without that type of resource. I think that the campus does that extremely well, and I think that's why you see students who really enjoy being here.

Also in terms of opportunities – career services allowed me the opportunity to partner up with the Marion Police Department and the Edward J. Russo Justice Center to develop a program that tries to deter the number of juvenile cases in the court system. In other words, to try to divert and intervene before students end up being in trouble. That is so valuable because of what I learned in psychology. I could do research and see how that can actually make a difference in our community. It was a very successful program. We worked with those people from the police department and over the year, I think we really made a difference in Marion. I think that's a remarkable opportunity for students here on this campus.

There are also several student groups that are very involved: the Psychology Club and the Griffin Society, which is the honors group here on campus. This is how much students really appreciate education. We've said that seven of our full-time faculty have received the Distinguished Teaching Award. The Griffin Society took on their initiative to recognize the outstanding services that part-time faculty members provide. So they sponsored a part-time faculty Distinguished Teaching Award. That was presented for the first time last year to Sylvia Avila, who teaches Spanish and does a fantastic job with what can be a difficult topic. I think it echoes how much students really appreciate the quality of their education here.

As the dean mentioned, I was able to serve on the OSU-Marion board of trustees and it was a great experience. I only wish that more students could participate and have that opportunity. I hope that my humble contributions at that time will make it possible for students in the future to have the same and even heightened experiences that I've had on this campus.

As I mentioned about that young boy that had that energy and excitement for education and talked about layoffs, there's a secret that I would like to share with him. That in education there are no layoffs. Learning is truly a lifelong process. As the dean mentioned, I'll continue the next step in my life at The Ohio State University College of Law. But it is a lifelong process and I think that's another message that really travels and resonates well when you see what happens here on this campus.

In closing, I would like to mention a quote by John Ruskin that talks about the object of education. The quote goes, "The entire object of education is to make people not merely do the right things, but enjoy them; not merely industrious, but to love industry; not merely learning, but to love knowledge; not merely pure, but to love purity; not merely just, but to hunger and thirst after justice."

THE REGIONAL CAMPUS EXPERIENCE: A FOCUS ON MARION (contd)

Mr. Tuggle: (contd)

I thank you for the opportunity to share with you the wonderful experience I've had on this campus and look forward to talking with you this afternoon.

Dean Dottavio:

Thank you very much, Curtis. I think you can see he's going to be a very good attorney. I have to tell you this anecdote about Curtis. He was on the dean's list every quarter he was at the Marion Campus with one exception, so I started poking around, wondering what went wrong with Curtis! As it turns out, it was during a summer quarter when he was a part-time student and so it didn't count. In fact, he had a 4.0 GPA during that summer quarter.

The next student that we have is Jill Bores. Jill is here because she was on the Marion Campus for a number of years and has recently changed campuses and is now in Columbus. In fact, Jill started with us as a high school student in a post-secondary enrollment option program.

She is an honor student in dietetics in the School of Allied Medicine and has been a very active student on our campus, having served in our public relations office. Jill has served as our campus courier between here and Columbus, and is very active in our testing and orientation program. Jill --

Ms. Jillian Bores:

Choosing to further my education at Ohio State has been a great opportunity. Moreover, I feel starting my college career at the Marion Campus has been both a fulfilling and rewarding experience. For me, there were a variety of reasons why I chose to attend one of the regional campuses and the main reason being the economical factor. Tuition at the regional campuses is less than the main campus, and there are many scholarships available to students who attend the regional campuses.

The combination of scholarship assistance and reasonable tuition rates make the regional campuses affordable places to continue education. For example, the Marion Campus offers numerous scholarships. Additionally, students have the option of living at home while attending school, which saves on room and board, and this is what I chose to do for the first two years of my education.

Another reason why I chose the regional campus is because of the many general education curriculum classes they offer. I was able to get almost all of my required GEC's done at the Marion Campus. Furthermore, the regional campuses offer smaller classes in comparison to the main campus. Because of the small class size and personal attention I received in my freshman-level chemistry courses, I felt I had a strong background in chemistry, which has helped me move on to the upper-level chemistry, such as biochemistry and organic chemistry.

Because the main campus can be somewhat intimidating due to its size, starting at the Marion Campus gave me confidence to move on to the main campus, and my experience at the Marion Campus has helped me become more independent. I think the regional campuses of Ohio State are a great transition for those students who are not ready to go out on their own and move away for college, but they are convenient for people who want to return to school later in life.

THE REGIONAL CAMPUS EXPERIENCE: A FOCUS ON MARION (contd)

Ms. Bores: (contd)

Finally, the regional campuses, in general, enrich the community by providing many services to a variety of people. For example, the Marion Campus hosts an art show in the summer, and offers programs like Kid's College, which is a program that offers different classes on a variety of subjects for grade schoolers. These, and many other programs, activities, and events, help interact with not only the students at Ohio State, but the community as well.

Dean Dottavio:

Thank you, Jill. Holding down the anchor of our team is Theresa Lane. Until very recently, Theresa was the Verizon public affairs manager for the State of Ohio. This week, Theresa took a new job in Irving, Texas, and we are very grateful to Theresa for negotiating the airways to come back to join us for a discussion with you.

Many of the people in Verizon have just been wonderful community partners with us. We got to know Theresa a couple of years ago through the partnerships that we were developing, literacy and diversity, and she has been a real anchor in many of those. Theresa --

Ms. Theresa Lane:

Thank you, Dominic. I'm really happy to be here. As Dominic mentioned, I work for Verizon and, until recently, I was the public affairs manager and now I work in Dallas as a consultant. I flew in from Dallas last night and, for many of you who don't know me, I'm not a flyer. In order for me to get here, it speaks to the relationship and the partnership that we have with OSU-Marion.

In fact, the partnership is so strong that sometimes members of the community, whenever we're having a Verizon event, just automatically expect to see Dominic, and vice versa. Our partnership with OSU-Marion has been a good fit. Like Verizon, OSU-Marion has a strong commitment to literacy and diversity and that has resulted in some very important and strategic partnerships in the Marion community.

Partnerships like literacy, where we partnered with OSU-Marion, to form a literacy partnership to promote literacy activities with very young children. The Grow With Books program provides books to each infant born at Marion General Hospital so that it will enhance their learning process. The Marion Reads program, which is a program started by Verizon, places tutors in the Marion area schools. We work with four area elementary schools for one-hour each week tutoring one-on-one. Dominic and several members of the OSU-Marion Campus have become a part of that process.

I don't have a piece of paper long enough to write down all the things that we've done with OSU, and what Dominic and his team have done in Marion, but one of the things -- which proved to be very beneficial to the entire community -- was having a diversity week. That included an entire week of activities to enhance diversity.

Diversity week included having a VIP dinner with several NAACP chapter presidents and the state president from Columbus, Jim Daniel, and Dominic attended on behalf of OSU-Marion. The NAACP state conference, held recently on the OSU-Marion Campus, was also sponsored by Verizon.

THE REGIONAL CAMPUS EXPERIENCE: A FOCUS ON MARION (contd)

Ms. Lane: (contd)

All of these things have resulted in meaningful dialogue, which has led to a stronger partnership with minority groups like the NAACP, particularly the NAACP in Sandusky. As a result of the dialogue and the partnerships, the chapter president, Francis Amoson, and Dominic and his staff, will be working with Sandusky Public Schools and their superintendent to recruit minority students from the Sandusky area to attend the OSU-Marion Campus. That announcement has already been made to the Sandusky NAACP executive board and to the general membership of the NAACP. Word gets around Sandusky pretty quick. Everyone is excited and they're looking forward to that process coming to fruition.

As I mentioned, Verizon has a long and wonderful relationship with OSU-Marion. We have provided minority scholarships, we have partnered on literacy, we have partnered on diversity, we sponsored the Five Nights on Campus series, we've been a part of the OSU-Marion diversity council, we've had Dr. Frank Hale give presentations, I've done presentations, and we've worked with the Young Women's Business Academy.

What I want to tell you, and what I'd like to leave with you, is that these types of things don't just happen. When you have strong business community partnerships -- especially in the areas of diversity and literacy -- with a major educational institution, these things only happen when the leadership in place has the passion, the drive, the commitment, and the courage to move forward and make those things happen. That is what I've seen at the OSU-Marion Campus under the leadership of Dominic Dottavio, and at Verizon under the leadership of Jack Kennedy, our state president.

I only lived in Ohio seven years, before that I came from Michigan and I was a Maize-and-Blue fan. But I want to tell you that I rarely think Maize-and-Blue anymore. The impact of what I've seen in working with Dominic and how he relates to kids has been so positive and enthusiastic.

I would ask you to wait and see what happens with the kids from Sandusky -- the program that's starting to be developed with the NAACP and Verizon's support -- because those kids are excited about coming to this campus. They want to go to Ohio State and a lot of that speaks to Dominic's leadership and his willingness to partner with the NAACP leadership. Thank you.

Dean Dottavio:

Thank you very much, Theresa. I might note in conclusion that it looks like the sun is coming out as Marion people talk. Thank you very much.

Mr. Skestos:

Dean Dottavio, Jillian, Curtis, and Theresa, I want to thank you for helping this Board better understand what goes on at our regional campuses, and how outstanding they are. Thank you very much.

Dean Dottavio:

Thank you.

--0--

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF**

Dr. David Allen:

Good morning. Thank you very much for the opportunity to talk to you about this and also your support.

Last June the Governor signed a revised code amendment, unanimously passed by the General Assembly, that grants to boards of trustees at Ohio's universities, the rights to devise rules, and to enhance the process for technology transfer from university research results to startup companies. These rules were reviewed at a statewide level, the Inter-University Council got together with attorneys from the universities and devised, in essence, a general set of rules, and the Ohio Ethics Commission was also involved in this.

From that, what has happened is an 18-month process to where we are now of consultation, review, and drafts upon drafts. We've met with the senior administration, senate committees, the University community, and the enterprise development community. This has been in front of a lot of people. A lot of people have helped us across the state to come to this point, not only at the state-level, but at the University-level. We feel we have a set of rules that are responsive, that ensure academic integrity, and also will promote technology transfer to startup companies, which clearly will benefit the State of Ohio.

There undoubtedly will be new situations that we'll see and we have a mechanism through the Technology Transfer Oversight Committee, which will be used. In 1996 you created this oversight committee which is composed of the provost, the general counsel, and the vice presidents for Finance and Research. That body will make a lot of these decisions, and anything that happens in this arena goes through that group.

Ohio State is the first of Ohio's universities to be in front of its trustees to talk about this and was clearly the leader behind all of this over the last 18 months. This is going to create a significant degree of clarity and certainty for all the parties, and that's the best thing out of this. People will know where they stand as they go through the process. They will know what the rules are from the prospective of investors, from the prospective of faculty, from the prospective of administrators, and the public. We truly set public accountability as an important dimension in this, as well as academic integrity and entrepreneurial empowerment. That's a tough balance. It's one that public institutions have stepped up to and I think that we certainly have.

The expectations are somewhere between five and ten of these transactions on a yearly basis and that's what we'll be seeing over the next year. I think once we have a little bit more of a record and it gets out there -- certainly one of the elements that we see, as there are funds available, people are stepping up. But the clarity helps, too.

So with that, I'd like to turn it over to John who will talk a little bit about the academic integrity and other aspects of it.

Mr. John Biancamano:

Mr. Chairman, I'd like to take a few minutes to give you a very quick overview of the content of the rule. The rule applies to faculty and staff who create University-owned technology in their research and who desire to own an interest in a company commercializing that research.

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Mr. Biancamano: (contd)

I would like to emphasize, as David did, this applies to a very limited class of transactions. It is not the intent of this rule to create a startup company in every faculty member's office, but rather to focus our attention on a relatively small number of transactions where we have a very valuable technology that can be good for the University and for the economy of the State of Ohio. Three, five, ten might be what we would expect from the application of this rule per year, in coming years.

Point number two: the rule creates a procedure for review and approval of these transactions. As David mentioned, the primary review body is the Technology Transfer Oversight Committee; however, the rule also requires chairs and deans to play a prominent role in these deals. Because we understand that the primary responsibility for supervising a transaction and for making sure that everything goes well at the ground level has to happen with the front line administrators, the chairs and deans are going to play a prominent role. The Office of Technology Licensing and the University Conflicts of Interest Administrator in Legal Affairs will also play a prominent role in helping these transactions happen.

Perhaps most importantly are a number of safeguards that appear in the last provision of the rule to protect research integrity and to manage the conflicts of interest that invariably are going to arise in these situations. For example, the rules address the problem of students who will want to work for these companies. This could be a very exciting educational and professional opportunity for students who may find it attractive to remain students here, but at the same time get some real world experience working with the company. The rules include safeguards and provisions to make sure that working for the company does not result in any negative effect on their academic career.

The rules state that University facilities can be used only to benefit a startup company only if there is a contract in place and if the University is reimbursed for the use. The rules contain a number of provisions that limit faculty roles in actually managing the company. I think this recognizes the fact that we want our researchers doing what they do best, which is producing technologies that can be applied to benefit the University and the economy of Central Ohio. The rules make it clear that a professor's and a researcher's first responsibility is to his or her University teaching or research duties. Faculty are responsible for 100 percent of their responsibilities while they are involved with these companies.

Now obviously you need flexibility in this regard and the rules make it clear that -- and this will be inevitable -- there will be times a faculty entrepreneur needs to devote a significant amount of attention to a company. If that's the case, it's possible to reduce an appointment or perhaps even take a leave of absence to make sure that we have the best of both worlds.

Something that is very important is that the rules make it clear that the University patent policy continues to apply to faculty and staff researchers who engage in these transactions. So that if one of our faculty or staff should make an invention while he or she is working for the company, the University will own that invention and, of course, the University will logically consider licensing it or giving an option to the company. So there is a nexus, but we also protect the University's intellectual property issues.

We feel that these rules in their current form are going to make it easier to identify these transactions and to complete them. We feel that they strike the

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Mr. Biancamano: (contd)

right balance between encouraging the development of a more entrepreneurial spirit on campus and, at the same time, continuing to achieve our University academic and research mission. For that reason, we recommend their approval.

Mr. Skestos:

Any questions of either of these two gentlemen?

Mr. Patterson:

What are the potential revenue benefits to the University on this? We're allowing some of them to be entrepreneurial, therefore there ought to be a return to the University. Have you projected those?

Dr. Allen:

There are a couple of different ways that the University benefits in revenue. In most of these cases where the technology that a company is going to license is still at a very raw, incomplete state, there will often be what we call "induced research" back to the laboratory. So there's that element of it. Another element is that, according to the University's patent policy, the distribution of royalties or any other kind of payments – in many of these cases, the University will, through the Foundation, have an equity interest in ownership share, so upon liquidation that will be redistributed back to the parties.

Basically the royalty distribution is, after a threshold amount, one-third to the inventors as an incentive for that, five-twelfths to the department and college, and then one-quarter to the central research administration, the Office of Research. So there is a significant amount of royalty that returns back.

When we've done these kinds of transactions, we've been limited in our ability to get faculty to participate, so, quite frankly, a lot of the transactions left the community. We've lost all our connections with students, with sponsored research, with consulting, and with all those other dimensions that now we're trying to manage in this process. We've lost a lot and we're trying to gain that back. We think it's going to have a significant impact in the years down the road.

If you're talking about 10 of these, not all of these are going to be successful and I think we all have to realize that. This isn't a test where we're going to score 100 percent. Markets change and technology is at a very early stage, but I think we'll do very well by this.

The final thing is that this isn't the panacea -- this isn't everything. Most of what we're going to do is still going to be the traditional kind of licensing. If you look at how universities are successful -- and many are and we have been in the past -- it's usually because one technology or one family of technologies is the grand slam winner. In our case, it's been the feline leukemia virus vaccine. This vaccine has brought in over \$18 million to the University over its years, but it will be going off patent soon.

What we want to make sure is that we have the ability to catch 'em, to work 'em, and let that good technology go through the development, into commercialization, and have its best chance. Then have a lot of benefits to the community, both the University and to Ohio.

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Mr. Brennan:

In furtherance to that question, I assume, John, you have checked with other universities that have these programs? When I talk to trustees of other universities or administrators, this is an incredibly common problem. I haven't talked to anybody who feels that they have solved it. How do they strike this balance that you're describing here in these rules? This is all a balance issue among several duties that are required of a person. I have not talked to anybody who has said, "Oh yeah, we've got that right." Have you?

Mr. Biancamano:

Probably not. A lot of people do this and a lot of people are doing it well. However one of the points that I have discovered in talking to some other institutions, is that very rarely do they have a comprehensive rule that puts everybody on notice of the expectations and the procedure. So I believe that this kind of comprehensive, centralized rule is a big step in that direction. In addition to making it easy -- in that we understand how the transaction is supposed to be structured and we can move through it efficiently -- there's a lot of language when you look through the bill that focuses on the conflict of interest question and a faculty member's responsibility to the University. I think if you have that message on the table in the beginning, it helps focus everybody's attention to where they ought to be.

Mr. Brennan:

Was there a university that you patterned this after, one that you thought probably was the best that you saw out there in regard to these documents?

Mr. Biancamano:

While we did get input from a number of institutions, I wouldn't say there was any pattern. I think this document very much is the creative work of the Office of Technology Licensing, some very dedicated folks in the Office of Legal Affairs, and faculty in the University.

Mr. Brennan:

Sounds like maybe you should copyright this so others, when they copy it, can pay us a royalty.

Dr. Allen:

We truly are cutting some new ground here.

Mr. Brennan:

I'm quite serious about what I just said by the way. I think this is one of those vacuums into which if somebody rushes successfully they can create quite a stir. This is a very common problem.

As I understand it, the other piece in your investigations is that several universities have quite a bit of money coming in from these inventions. It appears to be sort of an ad hoc basis, which you earlier said. Could you give us some idea of what those potentials might be from other universities that you know, the amounts of money that are being created by this?

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Mr. Biancamano:

David may have some thoughts on this, but you have to remember I'm talking mostly to lawyers.

The experience in many institutions is that you can do very well financially if you hit a big one, like the virus vaccine that David mentioned. If we were to invent another Xerox, obviously this is good times for everybody. What I'm finding is that in the early years at most institutions the direct monetary benefit is not the primary carrot for doing this. A lot of the institutions we've talked to have pointed out that this device is very important in attracting and retaining competent, eminent faculty. People can do this anywhere and if we want them to come here, we have to give them the opportunity.

Looking at this from a land-grant institution perspective, this also fulfills that mission. To an extent, we take our knowledge and research and get it into the community, where it can benefit Ohioans, and therefore we are fulfilling our mission and keeping it in Ohio.

Ms. Longaberger:

Are there incentives for companies to come here?

Mr. Brennan:

May I answer that? That's in the agenda of the budget this year. I'm serious, Tami. I think that is state policy, primary taxation to benefit startup companies and I believe that Governor Taft is addressing that. It will be very helpful to supplement what this is.

Ms. Longaberger:

Did you find the same?

Mr. Biancamano:

We also will offer incentives by working with the company and making available our research facilities for a fee. Nevertheless, if we have the facilities that they need, there is an incentive to stay here.

Dr. Allen:

One of the greatest incentives that we have today is the enterprise infrastructure that we're building with the Science and Technology Campus Corporation, the Technology Commercialization Corporation, the business incubator called the Business Technology Center. We didn't have that three years ago when we started to do this. There were people in this community, quite frankly, who weren't stepping up. So we said, okay what we're going to need to do is take an aggressive stance and help catalyze that enterprise development community.

We now have resources coming into these organizations, and we're working with development and others. The Columbus Technology Leadership Council will soon have a seed fund. We've seen quite significant changes in the venture capital community in Ohio in the last few years. Sure, we're going to have some issues down the road in the dampening effect to the economy, etc., but we didn't have people to turn to before. Now we have valued partners that want to step up

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Dr. Allen: (contd)

at the early stage of the unrefined technology that we have and try to optimize it and direct it to marketplace drivers.

Quite frankly, that's the real incentive that's out there. Because it's money and people to do this that our faculty see and say, "I can do this here."

Mr. McFerson:

I read the rules and understand the appropriateness on the going forward basis, but speak for a few moments about all the research that is taking place today. Is there any grandfathering, or how you go back and catch up, if you will, or do you even try?

Dr. Allen:

There's not an end state in any of this, it's all part of a long process. What we've done is we've stepped back, as we realized that this was going forward, and said, "You know what we should do before the Trustees act, is make sure that we have a sense of the deal flow that's coming through the pipeline."

What we didn't do without your resolution here, is enact any new licenses. What we've done is we've kept a short tether of an option agreement. The companies know that they have the rights to the technology through the option agreement. They can meet certain kinds of diligence, if you will, and they could demonstrate the technology ability. We have about a half a dozen or so.

Very soon you're going to be hearing about the companies that are going to be going past that option period into the licensing stage. We've been working for the last year and a half and telling people to have confidence. I think people understand we're making progress here, this will happen. We're kind of backing up and managing through that process mostly with options and other kinds of short tethers, if you will.

Mr. McFerson:

In other words, you've been holding people back in recognition that this is coming?

Dr. Allen:

I don't think that we've necessarily been holding people back. I think the option approach is a really good approach, a tool for us to move through that development stage. One of the things we do is we license technology, we don't sell it. If we use the license as a mechanism – because a lot of these companies will eventually not make it – we can get that technology back. And if it's early technology, we usually get another shot at it.

Mr. McFerson:

To put it another way, with the adoption of these rules today, there will be some early signings taking place.

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Dr. Allen:

Over the next couple of months, you'll be hearing about them. Yes.

Judge Duncan:

How are you going to solve any disputes that may arise? For instance, if the dean or the Oversight Committee turns down a deal, is it over with or what happens?

Mr. Biancamano:

I think we're going to have to rely on a consensus building process within the University. There are various aspects to the deal that need to be looked at. For example, there's a business evaluation. There are some transactions that simply don't make sense with a startup. The best way to get the technology into the community is to license it to an established firm. That's going to be a business judgment that is going to be looked at very closely by Technology Licensing and David's folks.

At the other end of the scale, there may be some transactions where the conflict of interest issues are so pervasive that everybody looks at it and says, "This is difficult." Absent those extremes, I think we're going to have to rely on the goodwill, good intentions, and hard work of everybody involved in this scenario to make sure that the transactions work. We've certainly seen that happen in the last year. We've worked with every constituency. I think we've been able to get everybody pretty much on the same page. Our goal is to make the deals that will work happen as soon as possible.

Mr. Skestos:

Have you thought about having outside people on this determination committee so that there isn't that feeling amongst some that you're favoring engineering over biotechnology or vice versa? When it's all done within the community there is always the thought that the individual that has been turned down because of favoring someone else. Even though they have a better idea, I'm not going to think it's a better idea, I'll think mine is better. If you had an outside committee that somehow was involved in making or passing on some of these, there would be a greater sense of fairness.

Dr. Allen:

I don't mean to be glib, but there is an outside group -- the marketplace. The marketplace is going to respond by saying, "We want venture capital or business insight. We want to do this or we don't."

The decision of taking the position for the University in intellectual property or pursuing a patent is one that, as soon as we can, we try to go to that marketplace and say, "What do we have here?" That's where the TCC and other groups that we can go to can give us those judgments and help us pull through some of those very early stage technologies. We need to do a little bit better, too, in terms of resources, and say, "These are going to take awhile to mature, let's get some bets on the table."

The decision to do this is for us to listen to the marketplace and work with the departments and colleges on sharing arrangements for intellectual property. "Mr.

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Dr. Allen: (contd)

Dean or Ms. Dean, are you willing to put up a portion here?" So that there's a sense that they're doing their diligence in determining it, that it is an investment they want to make, because they know they'll get a return on it.

There inevitably will be cases where individuals are going to be grieved by the fact that we may turn them down. We also have in our patent policy an ability or an opportunity to, if you will, reassign it to that individual. So, if they think we haven't done the right thing, then they have an opportunity and can do whatever they want with it.

Mr. Skestos:

Any other questions? Kevin --

Mr. Filiatraut:

Could you briefly speak to how a master's student or a Ph.D. student who will be working on a thesis or dissertation with one of these professors who is part of this company -- how they would be protected from a potential conflict with their work and such?

Mr. Biancamano:

Yes. First of all, we have seen a number of instances where students come forward and say, "This is going to be great, I want to work for the company." The rules state that if you're going to work for the company, all the parties involved should sign a disclosure agreement that puts on paper the student's rights and responsibilities in this regard. This document is going to state, for example, that your work at the company will bear no relationship to your academic progress. You may or may not work out as a company employee, but evaluations of your company work are not going to flow over into evaluations of your academic work.

One of the reasons students don't want to work in this area is that the work the company is doing bears a relationship to his or her thesis or dissertation. The University has a rule that says that you cannot include in your thesis material that is restricted from publication. Obviously, your company is going to want to keep their research proprietary. We will also include in the document a statement to ensure everybody understands your company work cannot bear any relationship to your University thesis research, so that your ability to get your degree is protected.

Finally, and perhaps most importantly, the rule says that if a student is academically involved with a professor -- namely taking a course from a professor, if the professor is his or her academic advisor, or on a thesis committee -- you're going to have to choose. You should not work for the company and have the professor be your boss on one side and your academic advisor on the other. So we feel as a package, these rules give the appropriate amount of protection to student progress.

Ms. Hendricks:

Having worked in R & D for a large part of my life, my experience is that for every 150 patents, there's one that is commercializable. Can any professor get a

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Ms. Hendricks: (contd)

patent? Who pays for the legal work and all the requirements to really have a real live patent? Is that funded all by the University?

Mr. Biancamano:

There is a system for that.

Dr. Allen:

Any employee of the University that is involved in a research activity or discovery or inventive activity, and it is a part of their research program, will have an obligation to disclose that to the University and it then becomes the University's property. It comes over to the licensing office through a disclosure mechanism.

Basically the first thing we do is we talk to the faculty member or the inventor, "What are you interested in?" "Whom have you been working with?" We're going to go all through the background and get into the patent literature. We make some preliminary decisions, realizing that the major person involved in this is the inventor.

If they just say, "I'm not really interested in commercialization," we don't have anybody to work with. They're the people who have to have the energy to carry it forward. When they do have that energy to carry it forward, we work with external counsel -- a patent counsel that is designated by the Attorney General's office -- that goes and seeks the patent protection or copyright or whatever.

At that time, we are also then talking to individuals in the community about that technology and trying to assess what its market position and drivers are. When there is platform technology, the core technologies that you can build a company, this set of rules perhaps would apply. Or there may be something that a company would say, "I think we can commercialize that independent of a startup." Then you have to work back and forth with the faculty member. So decisions on that are made by professionals in the licensing office, mostly by the cues, if you will, that they're receiving.

We have one amazing asset at Ohio State that virtually no other universities have to such a high degree, and that is our alum and we use them a lot. I can pick up the phone and call somebody who is an alum and say, "I want to talk to you." The alum will talk to you or give you somebody to help you. That is our network, beyond what's local. We can get an intelligence network about what's happening out there on some very narrow and specific things unlike other communities or other schools.

Mr. Brennan:

John, with the Senate bill, did it not require us to submit this rule back to a committee of the Senate? Was that what was contemplated?

Mr. Biancamano:

I don't believe so, Mr. Brennan. After the bill was passed, it was required that we work with the Ethics Commission to prepare a set of model rules. In fact, the model rules that were prepared are almost identical to these.

**SUMMARY OF THE GUIDELINES FOR THE FACULTY RULE
GOVERNING ENTREPRENEURIAL ACTIVITIES BY FACULTY AND STAFF (contd)**

Mr. Brennan:

You're satisfied that you satisfied their requirements?

Mr. Biancamano:

Yes, sir.

Mr. Brennan:

Thank you.

Mr. Slane:

Dave, one of the things that drove these rules was our ability to try to recruit faculty. How are these rules competitive with other universities around the country?

Dr. Allen:

I think they are very competitive and respond to the needs of the marketplace. Other universities in the country aren't as explicit about their rules. They're a little bit more catch as, catch can at other places. I think that there are some differences between public and private institutions. The privates seem to have a little bit more flexibility and they don't have quite the accountability and responsibility, etc., and community. There may be some shading of differences there. But the fundamental fact is that the federal government sets standards for the funding of research that says that there has to be disclosures, conflict of interest plans, etc., so that there is a level playing field. The differences are more of a difference of degree than kind, and there may be a little bit greater degree of difference between public and private.

Relative to where we are and the kind of "state of the practice," we are clearer, we have a greater certainty of how we want to do this, and we expect then to be more responsive because of that. These are the rules, this is what the trustees have approved, everybody is engaged in this process, and let's make this work.

Mr. Skestos:

Any other questions? Thank you very much.

--0--

CONSENT AGENDA

President William E. Kirwan

We have 11 resolutions on the Consent Agenda today and unless there are any objections, I would like to recommend these for the Board's approval:

CANCER HOSPITAL BOARD REAPPOINTMENT

Resolution No. 2001-109

Synopsis: Reappointment of a member to The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute Board is proposed.

WHEREAS the Board of Trustees on September 1, 1993, approved the establishment of The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute Board; and

WHEREAS it has been stipulated in Board of Trustees Bylaw 3335-1-03 (W) and The James Cancer Hospital and Solove Research Institute Board Bylaw 3335-109-01 that the Cancer Hospital and Research Institute Board shall be comprised of six citizens from the general public who shall be appointed by the University Board of Trustees in consultation with the President; and

WHEREAS the following named person has been nominated and selected for reappointment to the Cancer Hospital and Research Institute Board for the term as specified:

<u>Name</u>	<u>Term of Appointment</u>
Richard J. Solove	May 14, 2001 to May 13, 2005

NOW THEREFORE

BE IT RESOLVED, That the foregoing nominee be reappointed, effective immediately, as a member of The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute Board for the specific terms as set forth above.

CREATION OF A CENTER FOR URBAN AND REGIONAL ANALYSIS

Resolution No. 2001-110

Synopsis: The creation of a Center for Urban and Regional Analysis is proposed.

WHEREAS The Ohio State University has a large set of faculty and graduate students distributed throughout several colleges, whose research and teaching interests are in the area of urban analysis and for whom such a Center would play an important integrative role; and

WHEREAS the Center can build on a strong base established by the Committee on Urban Affairs, and can become an important activity within the University's Applied Social and Public Policy Initiative; and

WHEREAS aspects of the Center's organizational structure and resources, including funding and space, have been addressed; and

WHEREAS internal and external letters of support indicate that the establishment of a Center is an important step in national prominence in the field; and

WHEREAS the proposal satisfies the guidelines for the establishment of academic Centers and Institutes (3335-3-36) including requirements for appropriate consultation processes, oversight and evaluation; and

WHEREAS the proposed Center was reviewed, discussed, and approved by the Research Committee, by the Research and Graduate Council, by the reviewing subcommittee, by the Council on Academic Affairs, and by the University Senate at its March 10, 2001 meeting:

CREATION OF A CENTER FOR URBAN AND REGIONAL ANALYSIS (contd)

NOW THEREFORE

BE IT RESOLVED, That the creation of the Center for Urban and Regional Analysis is hereby approved, effective immediately.

DISSOLUTION OF DEPARTMENTS

Resolution No. 2001-111

Synopsis: The dissolution of the departments within the College of Nursing is proposed.

WHEREAS neither the Department of Adult Health and Illness Nursing, and the Department of Community, Parent-Child and Psychiatric Nursing meets the definition of a department as stated in rule 3335-3-34 of the Administrative Code; and

WHEREAS no distinct academic programs are offered solely in either department; there is one graduate program recognized by the Graduate School; for purposes of tenure and promotion, one set of criteria is used and all eligible faculty in the College constitute the first level of review; and all faculty governance is conducted by elected college committees and official College business occurs at College faculty meetings; and

WHEREAS the College faculty voted (18 in favor, 2 non-voting) on October 27, 2000 to eliminate the two departments and to function as a unit of the whole; and

WHEREAS the alternate structure will be to appoint two associate deans, one for undergraduate studies and one for graduate studies and research; and a new Pattern of Administration will be developed; and

WHEREAS the proposed dissolution was discussed and approved unanimously by the reviewing subcommittee, the Council on Academic Affairs, and approved by the University Senate at its March 10, 2001 meeting:

NOW THEREFORE

BE IT RESOLVED, That the Board of Trustees approves the dissolution of the Department of Adult Health and Illness Nursing, and the Department of Community, Parent-Child and Psychiatric Nursing, effective immediately.

NAMING OF BUILDING

Resolution No. 2001-112

Synopsis: The naming of the new University residence, located at 80 North Drexel Avenue, Bexley, Ohio, is proposed.

WHEREAS Ann and Ron Pizzuti have graciously given their residence to The Ohio State University Foundation to be used as the official residence of the president of The Ohio State University; and

WHEREAS The Ohio State University Foundation Board of Directors wishes to honor the Pizzuti family for making this generous gift; and

April 6, 2001 meeting, Board of Trustees

NAMING OF BUILDING (contd)

WHEREAS Ann and Ron Pizzuti are well known in Columbus as active community leaders and generous philanthropists:

NOW THEREFORE

BE IT RESOLVED, That in accordance with paragraph (F) of rule 3335-1-08 of the Administrative Code, the aforementioned residence be named "Pizzuti House."

AMENDMENTS TO THE RULES OF THE UNIVERSITY FACULTY

Resolution No. 2001-113

Synopsis: Amendments to the Rules of the University Faculty regarding the establishment of a faculty rule governing entrepreneurial activities by faculty and staff are proposed.

WHEREAS Senate Bill No. 286, passed by the Ohio General Assembly on May 24, 2000, authorized the board of trustees of a state university to establish rules that describe the circumstances under which a university employee may hold a financial interest in a company commercializing technology owned by the university; and

WHEREAS in compliance with Senate Bill No. 286, the Office of Research has prepared rule 3335-13-07, in consultation with the University Senate Research Committee and other faculty groups; and

WHEREAS the University Senate Steering and Rules Committees have agreed to co-sponsor rule 3335-13-07; and

WHEREAS the University Senate pursuant to rule 3335-1-09 of the Administrative Code is authorized to recommend through the President to the Board of Trustees the adoption of amendments to the Rules of the University Faculty as approved by the University Senate; and

WHEREAS the proposed changes in the Rules of the University Faculty were approved by the University Senate at its March 10, 2001 meeting as follows:

New Rule

3335-13-07 RULES GOVERNING FACULTY AND STAFF PARTICIPATION IN COMPANIES COMMERCIALIZING UNIVERSITY RESEARCH.

(A) POLICY STATEMENT.

PURSUANT TO SECTION 3345.14 OF THE REVISED CODE, THE UNIVERSITY BOARD OF TRUSTEES HAS DETERMINED THAT THE INTERESTS OF THE UNIVERSITY WILL BE SERVED IF FACULTY AND SOME CATEGORIES OF STAFF ARE AFFORDED THE OPPORTUNITY TO HOLD PERSONAL FINANCIAL INTERESTS IN COMPANIES COMMERCIALIZING THEIR UNIVERSITY RESEARCH. FACULTY AND STAFF PARTICIPATION IN TECHNOLOGY LICENSING TRANSACTIONS WILL FACILITATE THE UNIVERSITY'S GOAL OF MAKING ITS RESEARCH AVAILABLE FOR USE IN THE PRIVATE MARKETPLACE BY GIVING RESEARCHERS AN INCENTIVE TO DEVELOP INVENTIONS WITH COMMERCIAL APPLICATIONS. THE OPPORTUNITY TO PARTICIPATE IN THESE TRANSACTIONS IS ALSO ESSENTIAL TO THE UNIVERSITY'S EFFORTS TO ATTRACT AND RETAIN HIGHLY-QUALIFIED RESEARCHERS.

AMENDMENTS TO THE RULES OF THE UNIVERSITY FACULTY (contd)

New Rule (contd)

THE PROCEDURES AND GUIDELINES SET FORTH IN THESE RULES ARE INTENDED TO ENABLE THE UNIVERSITY TO REALIZE THE BENEFITS OF THESE ENTREPRENEURIAL ACTIVITIES WHILE PROTECTING THE INTEGRITY OF OUR RESEARCH AND EDUCATIONAL MISSION AND TO COMPLY WITH UNIVERSITY POLICIES AND APPLICABLE FEDERAL AND STATE LAWS.

(B) DEFINITIONS.

- (1) A TECHNOLOGY COMMERCIALIZATION COMPANY IS A PRIVATE COMMERCIAL ENTITY THAT IS OWNED IN WHOLE OR IN PART BY A UNIVERSITY EMPLOYEE AND THAT HAS AS ITS PURPOSE THE DEVELOPMENT AND COMMERCIALIZATION OF UNIVERSITY-OWNED TECHNOLOGY CREATED BY THAT EMPLOYEE.
- (2) THE UNIVERSITY'S OWNERSHIP OF INTELLECTUAL PROPERTY RIGHTS IN TECHNOLOGY CREATED BY ITS FACULTY AND STAFF IS DETERMINED IN ACCORDANCE WITH SECTION 3345.14 OF THE REVISED CODE AND THE UNIVERSITY POLICY ON PATENTS AND COPYRIGHTS. AS MORE FULLY EXPLAINED IN THE POLICY ON PATENTS AND COPYRIGHTS, UNIVERSITY-OWNED TECHNOLOGY GENERALLY DOES NOT INCLUDE TEXTBOOKS AND OTHER SCHOLARLY AND ARTISTIC WORKS.
- (3) THE TECHNOLOGY TRANSFER OVERSIGHT COMMITTEE IS THE UNIVERSITY BODY RESPONSIBLE FOR THE APPROVAL AND OVERSIGHT OF TECHNOLOGY COMMERCIALIZATION COMPANIES PURSUANT TO A DELEGATION OF AUTHORITY FROM THE UNIVERSITY BOARD OF TRUSTEES.
- (4) THE CONFLICTS OF INTEREST ADMINISTRATOR IS THE UNIVERSITY OFFICIAL WHO IS RESPONSIBLE FOR ASSISTING FACULTY AND OTHER UNIVERSITY EMPLOYEES IN IDENTIFYING, MANAGING AND ELIMINATING CONFLICTS OF INTEREST, AND IN PARTICULAR FOR FACILITATING THE DEVELOPMENT OF CONFLICT OF INTEREST MANAGEMENT PLANS FOR FACULTY AND STAFF PARTICIPATING IN TECHNOLOGY COMMERCIALIZATION COMPANIES.

(C) APPLICABILITY.

- (1) THESE RULES SHALL APPLY TO ALL FACULTY WHO CREATE INTELLECTUAL PROPERTY OWNED BY THE UNIVERSITY AND WHO DESIRE TO HOLD AN OWNERSHIP INTEREST IN A TECHNOLOGY COMMERCIALIZATION COMPANY.
- (2) THESE RULES SHALL APPLY TO STAFF MEMBERS HOLDING UNCLASSIFIED APPOINTMENTS, GRADUATE ASSOCIATES, AND STUDENT EMPLOYEES WHO:
 - (a) ARE SPECIFICALLY ASSIGNED TO ENGAGE IN RESEARCH AND DEVELOPMENT ACTIVITIES;
 - (b) CREATE INTELLECTUAL PROPERTY OWNED BY THE UNIVERSITY; AND

AMENDMENTS TO THE RULES OF THE UNIVERSITY FACULTY (contd)

New Rule (contd)

(c) DESIRE TO HOLD AN OWNERSHIP INTEREST IN A TECHNOLOGY COMMERCIALIZATION COMPANY.

(D) RESPONSIBILITIES OF DEPARTMENT CHAIRS AND STAFF SUPERVISORS.

(1) DEPARTMENT CHAIRS ARE RESPONSIBLE FOR ENSURING THAT FACULTY WHO PARTICIPATE IN TECHNOLOGY COMMERCIALIZATION COMPANIES COMPLY WITH APPLICABLE UNIVERSITY POLICIES GOVERNING THE TERMS AND CONDITIONS OF EMPLOYMENT, AND ACADEMIC AND RESEARCH ACTIVITIES. CHAIRS ARE ALSO RESPONSIBLE FOR ENSURING COMPLIANCE WITH THE PAID EXTERNAL CONSULTING AND FACULTY CONFLICT OF INTEREST POLICIES AND FOR REVIEWING AND MAKING A RECOMMENDATION AS TO THE PROPRIETY OF PRIVATE BUSINESS ACTIVITIES REPORTED BY THEIR FACULTY IN DISCLOSURE FORMS REQUIRED BY THOSE POLICIES.

(2) STAFF SUPERVISORS ARE RESPONSIBLE FOR ENSURING THAT EMPLOYEES WHO PARTICIPATE IN TECHNOLOGY COMMERCIALIZATION COMPANIES COMPLY WITH APPLICABLE UNIVERSITY POLICIES GOVERNING THE TERMS AND CONDITIONS OF EMPLOYMENT, AND ACADEMIC AND RESEARCH ACTIVITIES. THEY ARE ALSO RESPONSIBLE FOR ENSURING COMPLIANCE WITH THE UNIVERSITY POLICIES ON CONFLICTS OF INTEREST AND WORK OUTSIDE THE UNIVERSITY APPLICABLE TO STAFF EMPLOYEES AND FOR REVIEWING AND MAKING A RECOMMENDATION AS TO THE PROPRIETY OF PRIVATE BUSINESS ACTIVITIES REPORTED BY STAFF IN DISCLOSURE FORMS REQUIRED BY THOSE POLICIES.

(E) APPROVAL PROCESS.

(1) FACULTY AND STAFF MEMBERS WHO WISH TO PARTICIPATE IN A TECHNOLOGY COMMERCIALIZATION COMPANY MUST FIRST OBTAIN APPROVAL FROM THEIR DEPARTMENT CHAIRS AND DEANS OR OTHER APPROPRIATE SUPERVISORS. THE OFFICE FOR TECHNOLOGY LICENSING WILL BE RESPONSIBLE FOR ESTABLISHING THE BUSINESS TERMS OF THE TRANSACTION BETWEEN THE COMPANY AND THE UNIVERSITY, AND THE CONFLICTS OF INTEREST ADMINISTRATOR WILL FACILITATE THE DEVELOPMENT OF A CONFLICT OF INTEREST MANAGEMENT PLAN.

(2) THE TECHNOLOGY TRANSFER OVERSIGHT COMMITTEE WILL REVIEW THE SUFFICIENCY OF BUSINESS TERMS AND CONFLICT OF INTEREST MANAGEMENT PLANS RELATING TO TECHNOLOGY COMMERCIALIZATION COMPANIES. WRITTEN APPROVAL FROM THE TECHNOLOGY TRANSFER OVERSIGHT COMMITTEE MUST BE OBTAINED BEFORE ANY BUSINESS AGREEMENTS RELATING TO A TECHNOLOGY COMMERCIALIZATION COMPANY ARE FINALIZED.

(3) FACULTY OR STAFF MEMBERS WHO WISH TO PARTICIPATE IN A TECHNOLOGY COMMERCIALIZATION COMPANY MAY DISCUSS INITIAL COMPANY FORMATION WITH THE OFFICE FOR TECHNOLOGY LICENSING; HOWEVER, THEY SHOULD NOT, AS A GENERAL RULE, PARTICIPATE IN THE ONGOING NEGOTIATION OF OPTION AND LICENSING TERMS BETWEEN THE COMPANY AND UNIVERSITY. AS

AMENDMENTS TO THE RULES OF THE UNIVERSITY FACULTY (contd)

New Rule (contd)

SOON AS POSSIBLE, THIRD PARTIES, SUCH AS COMPANY MANAGEMENT AND/OR LEGAL COUNSEL SHOULD PERFORM THIS FUNCTION.

- (4) AS A PREREQUISITE TO THE GRANTING OF AN EXCLUSIVE LICENSE TO UNIVERSITY TECHNOLOGY, A TECHNOLOGY COMMERCIALIZATION COMPANY MUST PROVIDE THE OFFICE FOR TECHNOLOGY LICENSING WITH A VIABLE BUSINESS PLAN INCLUDING, AT A MINIMUM, THE FOLLOWING:

(a) A CAPITALIZATION PLAN DEMONSTRATING ACCESS TO FUNDS NECESSARY FOR COMPANY GROWTH;

(b) A PROPOSED MANAGEMENT TEAM; AND

(c) MILESTONES FOR PRODUCT DEVELOPMENT AND COMMERCIAL SALE.

- (5) IN RECOGNITION OF THE UNIVERSITY'S OWNERSHIP OF THE TECHNOLOGY, A TECHNOLOGY COMMERCIALIZATION COMPANY SHALL GRANT THE UNIVERSITY AN EQUITY INTEREST IN THE COMPANY AS NEGOTIATED BY THE OFFICE FOR TECHNOLOGY LICENSING.

- (6) THE FACULTY MEMBER'S DEPARTMENT CHAIR OR THE STAFF MEMBER'S SUPERVISOR MUST BE ACTIVE PARTICIPANTS IN DISCUSSIONS WITH THE TECHNOLOGY TRANSFER OVERSIGHT COMMITTEE AND IN THE DEVELOPMENT OF THE CONFLICT OF INTEREST MANAGEMENT PLAN RELATING TO A TECHNOLOGY COMMERCIALIZATION COMPANY.

- (7) A CHAIR OR STAFF SUPERVISOR WHO HAS A FINANCIAL INTEREST OR IS A CO-PARTICIPANT WITH A FACULTY OR STAFF MEMBER IN A TECHNOLOGY COMMERCIALIZATION COMPANY IS NOT IN A POSITION TO PROVIDE EFFECTIVE OVERSIGHT OF THAT ACTIVITY. IN THESE SITUATIONS, ANOTHER DISINTERESTED ADMINISTRATOR MUST BE APPOINTED BY THE TECHNOLOGY TRANSFER OVERSIGHT COMMITTEE TO PERFORM THE RESPONSIBILITIES OF THE CHAIR OR STAFF SUPERVISOR.

- (8) IF THE TECHNOLOGY TRANSFER OVERSIGHT COMMITTEE DETERMINES THAT, FOR ANY REASON, IT IS NOT POSSIBLE FOR THE CHAIR, THE STAFF SUPERVISOR OR ANOTHER DISINTERESTED ADMINISTRATOR TO PROVIDE EFFECTIVE OVERSIGHT OF A TRANSACTION INVOLVING A TECHNOLOGY COMMERCIALIZATION COMPANY, THE TRANSACTION SHOULD NOT BE APPROVED.

(F) RESPONSIBILITY FOR UNIVERSITY DUTIES.

- (1) FACULTY ARE ENCOURAGED TO DEVELOP DISCOVERIES AND INVENTIONS WITH COMMERCIAL POTENTIAL; HOWEVER, THEY SHOULD DO SO WITH DUE REGARD TO THE BROADER TEACHING AND RESEARCH MISSION OF THE UNIVERSITY. FACULTY SHOULD NOT ALLOW THEIR INTEREST IN A FINANCIAL OPPORTUNITY ARISING OUT OF THEIR RESEARCH EFFORTS TO INFLUENCE THEIR TEACHING, OR TO INTERFERE WITH THEIR RELATIONSHIPS WITH OTHER FACULTY. IN PARTICULAR, RESEARCH ASSIGNMENTS FOR STUDENTS SHOULD BE BASED ON THE STUDENTS' INTERESTS AND ACADEMIC DEVELOPMENT.

AMENDMENTS TO THE RULES OF THE UNIVERSITY FACULTY (contd)

New Rule (contd)

FACULTY SHOULD RESPECT AND PROMOTE THE COOPERATIVE NATURE OF THE ACADEMIC ENVIRONMENT BY SHARING INFORMATION AND PARTICIPATING IN JOINT RESEARCH EFFORTS WITH THEIR COLLEAGUES.

(2) WHILE FACULTY ARE PERMITTED BY THE POLICY ON PAID EXTERNAL CONSULTING AND THESE RULES TO ENGAGE IN SPECIFIED PRIVATE BUSINESS ACTIVITIES RELATING TO THEIR UNIVERSITY POSITIONS, THEY CONTINUE TO BE RESPONSIBLE FOR THE PERFORMANCE OF ALL OF THEIR UNIVERSITY TEACHING, RESEARCH AND SERVICE OBLIGATIONS. AUTHORIZED PRIVATE BUSINESS ACTIVITIES MUST BE UNDERTAKEN IN ACCORDANCE WITH THE POLICY ON PAID EXTERNAL CONSULTING AND PURSUANT TO FORMAL CONSULTING AND CONFLICT OF INTEREST MANAGEMENT PLANS SIGNED BY THE FACULTY, THE TECHNOLOGY COMMERCIALIZATION COMPANY AND THE UNIVERSITY AND APPROVED BY THE DEPARTMENT CHAIR, THE CONFLICTS OF INTEREST ADMINISTRATOR, THE OFFICE FOR TECHNOLOGY LICENSING, AND THE OFFICE OF LEGAL AFFAIRS.

(3) STAFF MEMBERS MAY ENGAGE IN ACTIVITIES RELATING TO A TECHNOLOGY COMMERCIALIZATION COMPANY DURING REGULARLY ASSIGNED WORKING HOURS ONLY IF THEY TAKE APPROVED LEAVE. WHEN PERFORMED OUTSIDE REGULARLY ASSIGNED WORKING HOURS, THESE ACTIVITIES MUST BE UNDERTAKEN IN ACCORDANCE WITH THE UNIVERSITY POLICIES ON CONFLICTS OF INTEREST AND WORK OUTSIDE THE UNIVERSITY APPLICABLE TO STAFF EMPLOYEES AND PURSUANT TO A FORMAL CONFLICT OF INTEREST MANAGEMENT PLAN SIGNED BY THE STAFF MEMBER, THE TECHNOLOGY COMMERCIALIZATION COMPANY AND THE UNIVERSITY AND APPROVED BY THE DEPARTMENT CHAIR AND/OR SUPERVISOR, THE CONFLICTS OF INTEREST ADMINISTRATOR, THE OFFICE OF TECHNOLOGY LICENSING, AND THE OFFICE OF LEGAL AFFAIRS.

(4) STAFF MEMBERS MAY PURSUE RESEARCH PROJECTS AS AUTHORIZED BY THEIR SUPERVISORS. SUPERVISORS SHOULD AUTHORIZE ONLY THOSE STAFF RESEARCH PROJECTS THAT WILL ADVANCE THE MISSIONS OF THE UNIVERSITY AND THE EMPLOYING UNIT, WITHOUT REGARD TO THE FINANCIAL INTERESTS OF INDIVIDUAL EMPLOYEES.

(G) CONFLICT OF INTEREST MANAGEMENT STANDARDS.

(1) UNIVERSITY FACILITIES, EQUIPMENT AND OTHER RESOURCES MAY BE USED FOR RESEARCH BENEFITING A TECHNOLOGY COMMERCIALIZATION COMPANY ONLY PURSUANT TO A SPONSORED RESEARCH AGREEMENT, FACILITIES USE AGREEMENT OR OTHER APPROPRIATE CONTRACTUAL ARRANGEMENT.

(2) AS A GENERAL RULE, FACULTY OR STAFF SHOULD NOT HOLD MANAGEMENT POSITIONS IN TECHNOLOGY COMMERCIALIZATION COMPANIES. WHILE THEY MAY INITIALLY FIND IT NECESSARY TO PLAY A MANAGEMENT ROLE IN A NEWLY-FORMED COMPANY, IT IS EXPECTED THAT THEIR MANAGEMENT RESPONSIBILITIES WILL DECREASE AS THE COMPANY DEVELOPS. PROFESSIONAL MANAGEMENT SHOULD BE BROUGHT IN AT THE EARLIEST OPPORTUNITY. IN ORDER TO ENSURE THE APPLICATION OF THIS PRINCIPLE, AGREEMENTS BETWEEN THE

AMENDMENTS TO THE RULES OF THE UNIVERSITY FACULTY (contd)

New Rule (contd)

UNIVERSITY AND A TECHNOLOGY COMMERCIALIZATION COMPANY SHOULD CONTAIN ENFORCEABLE MILESTONES FOR THE REDUCTION OF THESE MANAGEMENT RESPONSIBILITIES. FAILURE TO COMPLY WITH THESE AGREED-UPON MILESTONES WILL RESULT IN THE COMPANY'S INABILITY TO ENGAGE IN SPONSORED RESEARCH. UTILIZE STUDENT EMPLOYEES AND THE OTHER COMMERCIALIZATION AGREEMENTS AND/OR ACTIVITIES PERMITTED UNDER THESE GUIDELINES.

- (3) FACULTY SHOULD NOT ALLOW THEIR MANAGEMENT ACTIVITIES WITH TECHNOLOGY COMMERCIALIZATION COMPANIES TO CONSUME A DISPROPORTIONATE AMOUNT OF THEIR PROFESSIONAL ATTENTION. FACULTY ENGAGED IN APPROVED PRIVATE BUSINESS ACTIVITIES WHO ARE UNABLE TO PERFORM ALL OF THEIR UNIVERSITY RESPONSIBILITIES MUST REDUCE THOSE ACTIVITIES OR REQUEST A REDUCTION OF APPOINTMENT OR OTHER APPROVED LEAVE. PROFESSIONAL IMPROVEMENT LEAVE AUTHORIZED UNDER SECTION 3345.28 OF THE REVISED CODE MAY NOT BE USED FOR PRIVATE BUSINESS PURPOSES.
- (4) STAFF MEMBERS WHO ARE UNABLE TO PERFORM ALL OF THEIR UNIVERSITY DUTIES BECAUSE OF ACTIVITIES IN CONNECTION WITH TECHNOLOGY COMMERCIALIZATION COMPANIES MUST REDUCE THOSE ACTIVITIES OR REQUEST A REDUCTION OF APPOINTMENT OR OTHER APPROVED LEAVE.
- (5) GRADUATE AND UNDERGRADUATE STUDENTS MAY USE UNIVERSITY FACILITIES, EQUIPMENT AND OTHER RESOURCES TO PERFORM RESEARCH BENEFITING A TECHNOLOGY COMMERCIALIZATION COMPANY ONLY PURSUANT TO A SPONSORED RESEARCH AGREEMENT, AS STIPULATED IN THE GRADUATE SCHOOL HANDBOOK. SUCH RESEARCH MAY NOT BE USED TO SATISFY THE CRITERIA FOR A THESIS OR DISSERTATION IF THE MATERIAL IS RESTRICTED FROM PUBLICATION. STUDENTS SHOULD BE INFORMED IN WRITING OF THIS RESTRICTION PRIOR TO THE START OF THEIR RESEARCH.
- (6) STUDENTS MAY BE EMPLOYED BY A TECHNOLOGY COMMERCIALIZATION COMPANY, SUBJECT TO THE LIMITATION SET FORTH IN PARAGRAPH (G)(7) OF THIS RULE. PRIOR TO SUCH EMPLOYMENT, THE STUDENT, THE FACULTY OR STAFF MEMBER, THE CHAIR OF THE STUDENT'S DEPARTMENT, THE CHAIR OF THE GRADUATE STUDIES COMMITTEE AND A COMPANY REPRESENTATIVE MUST SIGN AN AGREEMENT DISCLOSING THE STUDENT'S RIGHTS AND OBLIGATIONS.
- (7) A STUDENT MAY NOT BE EMPLOYED BY A TECHNOLOGY COMMERCIALIZATION COMPANY IN WHICH A FACULTY MEMBER HAS AN OWNERSHIP INTEREST IF:
 - (a) THE STUDENT IS ENROLLED IN A COURSE TAUGHT BY THE FACULTY MEMBER;
 - (b) THE FACULTY MEMBER IS A MEMBER OF THE STUDENT'S THESIS OR DISSERTATION COMMITTEE; OR

AMENDMENTS TO THE RULES OF THE UNIVERSITY FACULTY (contd)

New Rule (contd)

- (c) THE FACULTY MEMBER IS THE STUDENT'S ADVISOR OR THE DIRECTOR OF HIS OR HER THESIS OR DISSERTATION RESEARCH.
- SUCH STUDENTS MAY PERFORM RESEARCH BENEFITING A TECHNOLOGY COMMERCIALIZATION COMPANY ONLY PURSUANT TO A SPONSORED RESEARCH AGREEMENT OR OTHER FORMAL INTERNSHIP AGREEMENT THROUGH THE UNIVERSITY.
- (8) TECHNOLOGY COMMERCIALIZATION COMPANIES MAY NOT ENTER INTO ANY AGREEMENTS WITH THE UNIVERSITY FOR THE PURCHASE, SALE OR RENTAL OF EQUIPMENT, SUPPLIES OR SERVICES OTHER THAN THOSE EXPLICITLY AUTHORIZED BY THE TECHNOLOGY TRANSFER OVERSIGHT COMMITTEE.
- (9) AS A GENERAL RULE, FACULTY AND STAFF MEMBERS WHO ARE NOT DIRECTLY INVOLVED WITH RESEARCH AND DEVELOPMENT OF TECHNOLOGY LICENSED TO A TECHNOLOGY COMMERCIALIZATION COMPANY MAY NOT HOLD EQUITY INTERESTS IN THAT COMPANY. EQUITY OWNERSHIP IN THESE SITUATIONS IS PERMISSIBLE ONLY TO THE EXTENT ALLOWED BY SECTION 2921.42 OF THE REVISED CODE.
- (10) UNIVERSITY REGULATORY REVIEW BOARDS INCLUDING, FOR EXAMPLE, THE INSTITUTIONAL REVIEW BOARD AND THE INSTITUTIONAL LABORATORY ANIMAL CARE AND USE COMMITTEE, MAY BE UTILIZED FOR RESEARCH BENEFITING A TECHNOLOGY COMMERCIALIZATION COMPANY ONLY PURSUANT TO A SPONSORED RESEARCH AGREEMENT.
- (11) AS A GENERAL RULE, AN INDIVIDUAL FACULTY OR STAFF MEMBER SHOULD NOT HOLD MORE THAN TWENTY-FIVE PERCENT OF THE OUTSTANDING EQUITY IN A TECHNOLOGY COMMERCIALIZATION COMPANY. WHILE SIGNIFICANT FACULTY OR STAFF EQUITY OWNERSHIP MAY BE INHERENT IN A NEWLY-FORMED COMPANY, IT IS EXPECTED THAT THEIR OWNERSHIP INTERESTS, AS A PERCENTAGE OF THE TOTAL OUTSTANDING SHARES OR MEMBERSHIP INTERESTS OF THE COMPANY, WILL DECREASE AS THE COMPANY DEVELOPS AND ATTRACTS ADDITIONAL EQUITY. IN ORDER TO ENSURE THE OBSERVANCE OF THIS PRINCIPLE, AGREEMENTS BETWEEN THE UNIVERSITY AND TECHNOLOGY COMMERCIALIZATION COMPANIES SHOULD CONTAIN ENFORCEABLE MILESTONES FOR THE DILUTION OF THESE EQUITY INTERESTS. FAILURE TO COMPLY WITH THESE AGREED-UPON MILESTONES WILL RESULT IN THE COMPANY'S INABILITY TO ENGAGE IN SPONSORED RESEARCH, UTILIZE STUDENT EMPLOYEES AND THE OTHER COMMERCIALIZATION AGREEMENTS AND/OR ACTIVITIES ALLOWED FOR UNDER THIS RULE.
- (12) FACULTY OR STAFF MEMBERS MAY NOT ASSUME THE ROLE OF PRINCIPAL INVESTIGATOR IN SPONSORED RESEARCH PROJECTS FUNDED BY TECHNOLOGY COMMERCIALIZATION COMPANIES IN WHICH THEY HAVE AN INTEREST IF THE PROJECTS INVOLVE THE USE OF HUMAN SUBJECTS, OR IF THEY ARE VETERINARY CLINICAL TRIALS INVOLVING THE USE OF ANIMALS. IN OTHER CASES, FACULTY OR STAFF MAY ASSUME THE ROLE OF PRINCIPAL INVESTIGATOR IF A FORMAL RESEARCH INTEGRITY PLAN APPROVED BY THE TECHNOLOGY

AMENDMENTS TO THE RULES OF THE UNIVERSITY FACULTY (contd)

New Rule (contd)

TRANSFER OVERSIGHT COMMITTEE, THE CONFLICTS OF INTEREST ADMINISTRATOR AND THE OFFICE OF LEGAL AFFAIRS IS IN PLACE.

- (13) AGREEMENTS FOR SPONSORED RESEARCH PROJECTS FUNDED BY TECHNOLOGY COMMERCIALIZATION COMPANIES MUST INCLUDE, AT A MINIMUM, A REQUIREMENT FOR FULL UNIVERSITY PUBLICATION RIGHTS AND FULLY NEGOTIATED COST RECOVERIES. THE OFFICE OF RESEARCH MUST APPROVE EXCEPTIONS TO THESE CONDITIONS.
- (14) FACULTY AND STAFF PARTICIPATING IN TECHNOLOGY COMMERCIALIZATION COMPANIES APPROVED PURSUANT TO THESE RULES CONTINUE TO BE BOUND BY THE UNIVERSITY POLICY ON PATENTS AND COPYRIGHTS. NEW INVENTIONS AND/OR DISCOVERIES MADE AS A RESULT OF A FACULTY OR STAFF MEMBER'S RESEARCH EFFORTS FOR THE COMPANY, INCLUDING THOSE MADE UNDER FORMAL CONSULTING AGREEMENTS, WILL BE OWNED BY THE UNIVERSITY, AND THE COMPANY WILL BE OFFERED AN EXCLUSIVE OPTION TO THE TECHNOLOGY. NEW INVENTIONS AND/OR DISCOVERIES DEVELOPED BY THE FACULTY OR STAFF MEMBER FOR THE COMPANY MUST BE DISCLOSED TO THE OFFICE OF TECHNOLOGY LICENSING AS REQUIRED BY THE POLICY ON PATENTS AND COPYRIGHTS.

NOW THEREFORE

BE IT RESOLVED, That the foregoing amendments to the Rules of the University Faculty be adopted as recommended by the University Senate, effective immediately.

HONORARY DEGREE

Resolution No. 2001-114

Synopsis: The awarding of an honorary degree to Raymond E. Mason, Jr., is recommended for approval.

WHEREAS pursuant to paragraph (B)(4) of rule 3335-1-03 of the Administrative Code, the President, after consultation with the Steering Committee of the University Senate, recommended to the Board of Trustees awarding of an honorary degree as listed below:

Raymond E. Mason, Jr.

Doctor of Business Administration

NOW THEREFORE

BE IT RESOLVED, That the above honorary degree be awarded in accordance with the recommendation at a time convenient to the University and the recipient.

PERSONNEL ACTIONS

Resolution No. 2001-115

BE IT RESOLVED, That Resolution 77-92 and the provisions of the February 6, 1959 Report of the Committee on Retirement and Insurance, calling for "Principal Administrative Officials" to be relieved of their administrative assignments at age 65, be waived to allow for the extension of administrative appointment of Tony Tripodi as Dean of the College of Social Work beyond his sixty-fifth birthday; and

BE IT FURTHER RESOLVED, That the personnel actions as recorded in the Personnel Budget Records of the University since the March 2, 2001 meeting of the Board, including the following Appointments, Reappointment, Appointment of Chairpersons, Reappointment of Principal Administrative Officials, Extension of Principal Administrative Official, Leave of Absence Without Salary, Leave of Absence Without Salary – Continuation, Professional Improvement Leaves, and Emeritus Titles, as detailed in the University Budget be approved; and

BE IT FURTHER RESOLVED, That the Medical Staff Appointments (The Ohio State University Medical Center and The Ohio State University Hospitals East) approved February 22, 2001, by The Ohio State University Hospitals Board, the Medical Staff Appointments (The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute) approved March 20, 2001, by The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute Board, be ratified.

Appointments

Name: JULIA F. ANDREWS
Title: Professor (Bliss M. and Mildred A. Wiant Designated Professorship in Chinese Literature and Culture)
Department: History of Art
Term: July 1, 2001 through June 30, 2005

Name: JOEL H. SALTZ
Title: Chief Information Officer and Associate Vice President
Office: Health Sciences
Effective: May 28, 2001
Present Position: Professor and Director of Informatics, Department of Pathology, Johns Hopkins University School of Medicine, and Professor, Department of Computer Science, University of Maryland, College Park

Name: ROBERT H. WAGONER
Title: Professor (The George R. Smith Chair in Engineering)
Department: Materials Science and Engineering
Term: July 1, 2001 through June 30, 2006

Name: JAMES C. WILLIAMS
Title: Dean
College: Engineering
Term: July 1, 2001 through June 30, 2004
Present Position: Professor (The Honda Chair for Transportation), Department of Materials Science and Engineering

Reappointment

Name: BRIAN D. JOSEPH
Title: Professor (The Kenneth E. Naylor Professorship)
Department: Slavic & East European Languages & Literatures
Term: October 1, 2001 through September 30, 2006

PERSONNEL ACTIONS (contd)

Appointment of Chairpersons of Departments

May 28, 2001 through June 30, 2005

Anatomy and Medical Education

Joel H. Saltz

July 1, 2001 through June 30, 2005

Anthropology

Clark S. Larsen

October 1, 2001 through September 30, 2005

African-American and African Studies

Kenneth W. Goings

Reappointment of Principal Administrative Officials

JOSEPH A. ALUTTO, Dean, The Max M. Fisher College of Business, effective July 1, 2001, through June 30, 2006, pursuant to rule 3335-1-03 (R) of the Administrative Code.

BOBBY D. MOSER, Executive Dean, College of Food, Agricultural, and Environmental Sciences, effective July 1, 2001, through June 30, 2006, pursuant to rule 3335-1-03 (R) of the Administrative Code.

JOHN O. RIEDL, Coordinating Dean for the Regional Campuses, effective July 1, 2000, through June 30, 2004, pursuant to rule 3335-1-03 (R) of the Administrative Code.

JOHN P. SCHOESSLER, Dean, College of Optometry, effective July 1, 2001, through June 30, 2006, pursuant to rule 3335-1-03 (R) of the Administrative Code.

Extension of Principal Administrative Official

TONY TRIPODI, Dean, College of Social Work, effective July 1, 2002, through June 30, 2004, pursuant to rule 3335-1-03 (R) of the Administrative Code.

Leave of Absence Without Salary

JUNKO SHIGEMITSU, Professor, Department of Physics, effective Spring Quarter 2001, to work at the Center for Computational Physics at the University of Tsukuba in Japan.

Leave of Absence Without Salary – Continuation

AUDREY A. JAFFE, Associate Professor, Department of English, effective Winter Quarter and Spring Quarter 2001, for personal reasons.

Professional Improvement Leaves

KEVIN R. COX, Professor, Department of Geography, effective Winter Quarter, Spring Quarter, and Autumn Quarter 2001.

IRENE I. DELIC, Professor, Department of Slavic and East European Languages and Literatures, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

DAVID A. GOLDBERGER, Professor (The Isadore and Ida Topper Professorship in Law), College of Law, effective Spring Semester 2001.

PERSONNEL ACTIONS (contd)

Professional Improvement Leaves (contd)

RONALD L. JACOBS, Professor, School of Physical Activity and Educational Services, effective Winter Quarter and Spring Quarter 2002.

BRIAN D. JOSEPH, Professor (The Kenneth E. Naylor Professorship), Departments of Linguistics and Slavic & East European Languages & Literatures, effective Winter Quarter and Spring Quarter 2002.

JAMES C. KAUFMAN, Professor, Department of Industrial, Interior, and Visual Communication Design, effective Winter Quarter 2002.

JAMES MORGANSTERN, Professor, Department of History of Art, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

STEPHEN L. PENTAK, Professor, Department of Art, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

BORIS G. PITTEL, Professor, Department of Mathematics, effective Winter Quarter, Spring Quarter, and Autumn Quarter 2002.

KARLIS RACEVSKIS, Professor, Department of French and Italian, effective Winter Quarter and Spring Quarter 2002.

DUANE W. ROLLER, Professor, Department of Greek and Latin, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

WILLIAM W. BATSTONE, Associate Professor, Department of Greek and Latin, effective Autumn Quarter 2001.

CARMEL E. BUCKLEY, Associate Professor, Department of Art, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

STEVEN CONN, Associate Professor, Department of History, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

STRATOS E. CONSTANTINIDIS, Associate Professor, Department of Theatre, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

KAREN S. ELIOT, Associate Professor, Department of Dance, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

LISA C. FLORMAN, Associate Professor, Department of History of Art, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

HEIKE S. GOELLER, Associate Professor, Department of Industrial, Interior, and Visual Communication Design, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

BRUCE A. HEIDEN, Associate Professor, Department of Greek and Latin, effective Spring Quarter 2002.

DAVID L. HOFFMANN, Associate Professor, Department of History, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

DONALD C. HUBIN, Associate Professor, Department of Philosophy, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

PERSONNEL ACTIONS (contd)

Professional Improvement Leaves (contd)

KEITH JOHNSON, Associate Professor, Department of Linguistics, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

PETER O. KING, Associate Professor, Department of Philosophy, effective Autumn Quarter 2001 and Winter Quarter 2002.

MIDORI KITAGAWA, Associate Professor, Department of Art, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

WAYNE J. REDENBARGER, Associate Professor, Department of Spanish and Portuguese, effective Autumn Quarter 2001.

LUKE A. WILSON, Associate Professor, Department of English, effective Winter Quarter and Spring Quarter 2002.

MICHAEL J. ZWETTLER, Associate Professor, Department of Near Eastern Languages and Cultures, effective Autumn Quarter 2001, Winter Quarter and Spring Quarter 2002.

Emeritus Titles

RAYMOND H. DOMINICK III, Department of History (Mansfield Campus), with the title Professor Emeritus, effective April 1, 2001.

THOMAS A. MCCAIN, School of Journalism and Communication, with the title Professor Emeritus, effective April 1, 2001.

WILLIAM J. STUDER, University Libraries, with the title Professor Emeritus, effective April 1, 2001.

RAFAEL L. CORTADA, School of Educational Policy and Leadership (Newark Campus), with the title Associate Professor Emeritus, effective April 1, 2001.

SHEILA E. HODGSON, Department of Radiology, with the title Associate Professor Emeritus, effective April 1, 2001.

CARL R. INGLING, JR., Department of Evolution, Ecology, and Organismal Biology, with the title Associate Professor Emeritus, effective April 1, 2001.

LEONARD K. EBEL, College of Dentistry (Periodontology), with the title Clinical Associate Professor Emeritus, effective July 1, 2001.

JAMES E. BRADLEY, Department of Geological Sciences (Newark Campus), with the title Assistant Professor Emeritus, effective July 1, 2001.

BONNY W. CHIRAYATH, Ohio State University Extension, with the title Assistant Professor Emeritus, effective April 1, 2001.

Medical Staff Appointments (The Ohio State University Medical Center)

February 2001

Guillermo E. Chacon, D.D.S., Dentistry, Attending, 10/03/2000 - 06/30/2001

Vani Duvuuri, M.B.B.S., Internal Medicine, Fellowship 1st Year, 02/14/2001 - 06/30/2001

Hosam Farouk El Sayed, M.D., Surgery, PGY1 Limited, 01/05/2001 - 06/30/2001

Charles P. Pollak, M.D., Neurology, Attending, 01/11/2001 - 06/30/2002

April 6, 2001 meeting, Board of Trustees

PERSONNEL ACTIONS (contd)

Medical Staff Appointments (The Ohio State University Medical Center) (contd)

February 2001 (contd)

Gregory T. Schulte, M.D., Anesthesiology, Attending, 02/14/2001 - 06/30/2002
Paul Sresthadatta, D.O., Surgery, PGY4 Limited, 02/14/2001 - 03/01/2001
Valerie A. Zernich, D.O., Obstetrics and Gynecology, PGY4 Limited, 01/18/2001 - 04/30/2001
Lara M. Zibners, M.D., Emergency Medicine, PGY4 Limited, 2/14/2001 - 03/31/2001

Request for Additional/Special Privileges (The Ohio State University Medical Center)

February 2001

Majorie Arca, M.D., Pediatric Surgery, Advanced Laparoscopic & Thoracoscopic, 02/14/2001 - 06/30/2001
David Castellano, MD, Ophthalmology, Excimer Laser, 02/14/2001 - 06/30/2001
Gregory Schulte, M.D., Anesthesiology, Pain Management, 02/14/2001 - 06/30/2001
Edward Martin, Jr., M.D., Surgical Oncology, Conscious Sedation, 02/14/2001 - 06/30/2001

Medical Staff Appointments (The Ohio State University Hospitals East)

January 2001

Scott A. Clark, M.D., Family Practice, MMT, Active, 01/29/2001 - 06/30/2001
Michael R. Gigax, M.D., Surgery, Surgery, PGY2, 01/29/2001 - 06/30/2001
Michael C. Gong, M.D., Ph.D., Surgery, Surgery, Active, 01/29/2001 - 06/30/2001
Ginger T. Guinther, C.R.N.A., Anesthesiology, Anesthesiology, Allied Health, 01/29/2001 - 06/30/2001
George L. Harris, Jr., M.D., Family Practice, Family Practice, PGY1, 01/29/2001 - 06/30/2001
Loree K. Kalliainen, M.D., Surgery, Plastic & Reconst., Active, 01/29/2001 - 06/30/2001
Peter Macdonald, M.D., Family Practice, Family Practice, Active, 01/29/2001 - 06/30/2002
Thomas E. McElowney, D.O., Family Practice, MMT, Active, 01/29/2001 - 06/30/2002
Timothy J. Walter, M.D., Internal Medicine, Neurology, Consulting, 01/29/2001 - 06/30/2002
Robert A. Waterman, P.A., Musculoskeletal Dis., Musculoskeletal Dis., Allied Health, 01/29/2001 - 06/30/2002
Chris M. Wood, D.O., Family Practice, MMT, Active, 01/29/2001 - 06/30/2002

Request for Additional/Special Privileges (The Ohio State University Hospitals East)

January 2001

William Bennett, M.D., Radiology, Moderate Sedation
James Bova, D.O., Radiology, Moderate Sedation
Michael G. Johanson, Anesthesia, Moderate Sedation
Mona Halim-Armanios, M.D., Anesthesia, Moderate Sedation
Michael B. Howie, M.D., Anesthesia, Moderate Sedation
Loree Kalliainen, M.D., Surgery, Complex hand surgery - Microsurgery
Hooman Khabiri, M.D., Anesthesia, Moderate Sedation
Luis A. Lopez, M.D., Anesthesia, Moderate Sedation
Nestor Narcelles, M.D., Anesthesia, Moderate Sedation
James Otworth, M.D., Anesthesia, Moderate Sedation
Thomas Reilley, D.O., Anesthesia, Moderate Sedation
Gautam Samadder, Internal Medicine, Pulmonary
Andreas Schuster, M.D., Anesthesia, Moderate Sedation
Robert Small, M.D., Anesthesia, Moderate Sedation
Gaylynn Speas, M.D., Anesthesia, Moderate Sedation
Kuldeep Vaswani, M.D., Radiology, Moderate Sedation

April 6, 2001 meeting, Board of Trustees

PERSONNEL ACTIONS (contd)

Request for Additional/Special Privileges (The Ohio State University Hospitals East) (contd)

January 2001 (contd)

Kenneth Vitellas, M.D., Radiology, Moderate Sedation
Howard Werman, M.D., Emergency Medicine, Moderate Sedation
Yun Xia, M.D., Anesthesia, Moderate Sedation

Medical Staff Appointments (The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute)

February/March 2001

Initial Appointments – Faculty

Miriam Emile, M.D., Internal Medicine, Hematology/Oncology, Associate Attending
Michael C. Gong, M.D., Surgery, Urology, Associate Attending
Michael R. Grever, M.D., Internal Medicine, Hematology/Oncology, Attending
Erick Rath, D.D.S., Ph.D., Dentistry, Oral and Maxillofacial Surgery, Associate Attending

Initial Appointments – Community

Howard Fischbach, III, M.D., Anesthesiology
Robert Gewirtz, M.D., Neurosurgery*
Ali Sajjadian, M.D., Otolaryngology
Ferdinand Santos, M.D., Anesthesiology

* GammaKnife privileges pending pursuant to compliance with training provisions of GammaKnife policies and procedures.

Provisional to Full Appointment – Faculty

Marjorie Arca, M.D., Associate Attending, Pediatric Surgery
Michael Bissell, M.D., Associate Attending, Pathology
David Colombo, M.D., Associate Attending, Obstetrics and Gynecology
Shella Farooki, M.D., Associate Attending, Radiology
James Laffey, M.D., Associate Attending, Radiology
Omar Mobin-Uddin, M.D., Associate Attending, Ophthalmology
Arthur Molina, M.D., Attending, Internal Medicine, Hematology/Oncology
Jose Norberto, M.D., Associate Attending, Surgery
Manju Prasad, M.D., Associate Attending, Pathology
Meade van Putten, D.D.S. Associate Attending, Dentistry
Daniel Sinclair, M.D., Associate Attending, Radiology
John Winston, III, M.D., Associate Attending, General Surgery
Yun Xia, M.D., Associate Attending, Anesthesiology

Provisional to Full Appointments – Advanced Practice Nurses

Theresa Craig, C.R.N.A.
Pauline King, R.N., C.N.S.

Change in Medical Staff Category

Avrom Epstein, Neurology, from Associate Attending to Clinical Attending

PERSONNEL ACTIONS (contd)

Medical Staff Appointments (The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute) (contd)

February/March 2001 (contd)

Honorary Medical Staff Appointment

Donald Coffey, Ph.D., Johns Hopkins

RESOLUTIONS IN MEMORIAM

Resolution No. 2001-116

Synopsis: Approval of Resolutions in Memoriam.

RESOLVED, That the Board adopt the following Resolutions in Memoriam and that the President be requested to convey a copy to the families of the deceased.

Daniel L. Leussing

The Board of Trustees of The Ohio State University expresses its sorrow upon the death on December 6, 2000, of Daniel L. Leussing, Professor Emeritus in the Department of Chemistry.

Daniel Leussing was a native Ohioan, born and raised in Cincinnati. He was a graduate of the Universities of Cincinnati, Illinois, and Minnesota, earning B.S., M.S., and Ph.D. degrees from them respectively. He taught at the Massachusetts Institute of Technology and the University of Wisconsin before moving to Washington, D.C., with an appointment at the National Bureau of Standards. In 1962, Professor Leussing joined the faculty of the Department of Chemistry at The Ohio State University and retired with the rank of full professor in 1994 at the age of 70, but continued his research activities.

Following graduate studies in analytical chemistry with I. M. Kolthoff at the University of Minnesota, Dr. Leussing began his independent research efforts with a series of studies detailing the speciation of inorganic complexes in solution. His interests in the detailed characterization of thermodynamic and kinetic properties of complexes inevitably led him into more detailed investigations of their mechanisms of formation and chemistry. For these studies, he made good use of his analytical training with a series of novel applications of analytical techniques to execute experiments that revealed new aspects of metal ion reactivity in quantitative detail.

In 1963, Daniel Leussing entered the fledgling area of bioinorganic chemistry. Up until this time, studies in that field had focused primarily on the use of spectroscopic methods to evaluate the coordination state of metal ions with biologically relevant ligand sets. By contrast, he set about the arguably more important task of detailing their chemical reactivities. Early on he developed an interest in a family of reactions pertaining to pyruvate metabolism, which underlies the biological formation of chemical energy.

Professor Leussing gained international recognition as a pioneer of the early development of the field of bioinorganic chemistry. He also garnered wide recognition and respect for the thorough and careful manner with which his work was performed, which combined creative and insightful experiments to yield important results that provided benchmarks in the field for many years.

He also was a principal player in studies of vitamin chemistry and made major contributions to our understanding of the chemistry of vitamin B6, and of B6-mediated reactions. Pyruvate-enolization chemistry and vitamin B6 mediated transamination reactions were two themes that Professor Leussing continued throughout his research career. These provided a springboard for evaluation of novel hypotheses of reaction mechanism (in the 1960s - 1980s), technique

RESOLUTIONS IN MEMORIAM (contd)

Daniel L. Leussing (contd)

development (in the 1970s and 1980s), and kinetic theory and modeling (in the 1980s and 1990s). Primary among these activities were: his detailed mechanistic investigations of metal catalyzed enolization reactions, application of Marcus theory to understanding atom transfer reactions, and early contributions to practical computer modeling of complex reaction pathways.

The large majority of Professor Leussing's papers were published in the *Journal of the American Chemical Society*, the preeminent journal for publication of scholarly work in the field of chemical science. Unusual for an inorganic kineticist, his work was based on sophisticated physical models that required the bridging of very distinctive areas of chemical research. In this vein, his last published manuscript concerned the novel application of Marcus theory to catalysis by labile metal ions.

Daniel Leussing was a regular attendee at the most important international conferences in the field. He was an invited speaker at the first International Conference on Bioinorganic Chemistry in 1983, and gave plenary lectures at mechanisms and coordination chemistry conferences during his career. He made many friends at these meetings, a reflection of his very open and good-humored personality that invited and welcomed discussion on a myriad of topics, both scientific and otherwise. Interest in enology reflected a love of fine wines and good food.

On behalf of the University community, the Board of Trustees expresses to the family of Professor Daniel L. Leussing its deepest sympathy and sense of understanding of their loss. It was directed that this resolution be inscribed upon the minutes of the Board of Trustees and that a copy be tendered to his family as an expression of the Board's heartfelt sympathy.

Mildred B. Munday

The Board of Trustees of The Ohio State University expresses its sorrow upon the death on February 4, 2001, of Mildred Brand Munday, Associate Professor Emeritus in the Department of English.

Professor Munday was born in Virginia and was a graduate of Randolph-Macon Women's College (B.A. degree), Smith College (M.A. degree), and the University of Wisconsin (Ph.D. degree). During World War II, she served in the Army, attaining the rank of captain.

She joined the faculty of the English department in 1967, and from then until her retirement taught courses in the English Renaissance (Shakespeare, especially), The English Bible, and introductory and advanced composition. But she was most famous for English 592: Women and Literature, one of the first women's studies courses at The Ohio State University, which Mildred Munday invented and then taught creatively for fifteen years.

At a time when it was by no means fashionable to do so, Professor Munday worked tirelessly for the advancement of women at OSU, both in their lives as students, faculty, and staff, and as they were studied and represented in the curriculum. She convened the first meeting of the Ad Hoc Committee on Women's Studies in 1972, which issued a set of recommendations that eventuated in what is now the Department of Women's Studies. She remained an active faculty adviser to the new program and worked on women's issues on campus even after her retirement in 1985.

A dedicated scholar and teacher, a profound lover of language and history, Dr. Munday was genteel in manner but fierce in her commitment to social justice. She did not compromise in that commitment, and was an inspiration and a role model throughout her career. She was one of the pioneers for women at OSU, and she will be greatly missed.

On behalf of the University community, the Board of Trustees expresses to the friends and former students of Professor Mildred Munday its deepest sympathy and sense of understanding of their loss. It was directed that this resolution be inscribed upon the minutes of the Board of Trustees.

RESOLUTIONS IN MEMORIAM (contd)

Wayne B. Parrish

The Board of Trustees of The Ohio State University expresses its sorrow upon the death on January 22, 2001, of Dr. Wayne B. Parrish, Associate Professor Emeritus in the Department of Molecular Genetics.

Dr. Parrish was born in Fairfield County, Ohio, in 1920. He served in the Pacific Theater with the U.S. Army First Cavalry Division during World War II, and received an honorable discharge in 1945. He then earned a B.S. degree in 1948, an M.S. degree in 1955, and a Ph.D. degree in 1958, all from The Ohio State University.

Wayne Parrish worked as a research biologist in cancer studies at Miami Valley Hospital, Dayton, Ohio, from 1959 until 1961. In 1962, he was appointed assistant professor at The Ohio State University in the Department of Zoology and Entomology, now the Department of Evolution, Ecology, and Organismal Biology, and served as director of the Electron Microscopy Laboratory from 1962 to 1965.

Professor Parrish had a strong interest in cancer and participated in a number of research projects in this area. Following his retirement, he became very interested in using selenium-containing compounds as anti-cancer agents and pursued this research in the Department of Molecular Genetics where he personally synthesized and received a patent for one compound that was found to be useful in animal studies. Because of his expertise with electron microscopy and his association with entomologists in the Department of Zoology and Entomology, Dr. Parrish participated in a number of research projects concerned with the ultrastructure of invertebrates and the use of viruses for the biological control of insect pests. His final contribution to research was the establishment of a fund at The Columbus Foundation to support the study of a genetic disease known as alpha-1-antitrypsin deficiency.

Professor Parrish was particularly known for his love of teaching and his service to students. His primary interest was the teaching of cell biology, which he taught for 26 years, initially in the Department of Zoology and Entomology, and later in the Department of Molecular Genetics. He also taught introductory zoology, introductory biology, and histology. He received high approval ratings from his students and twice was ranked by them among the top ten teachers in the Arts and Sciences. He served as coordinating advisor for more than 800 students and was unusually conscientious about preparing letters of recommendation for them.

Dr. Parrish's interests outside of the University were as varied as his academic interests. As a youth, he prospected for precious metals in the western U.S. and he continued to have an interest in the discovery and mining of these metals, especially in North America and Australia, until his death. He was brought up in a farming family and continued to maintain his own farm. In the later years of his life he became actively interested in the archaeology of Ohio Indian cultures.

Wayne Parrish was a man with a very creative mind, a contagious excitement about everything that he did, a great love of working with students, and an abundant concern for their welfare.

On behalf of the University community, the Board of Trustees expresses to the family of Professor Wayne B. Parrish its deepest sympathy and sense of understanding of their loss. It was directed that this resolution be inscribed upon the minutes of the Board of Trustees and that a copy be tendered to his family as an expression of the Board's heartfelt sympathy.

REPORT OF RESEARCH CONTRACTS AND GRANTS

Resolution No. 2001-117

Synopsis: The reports on research and other sponsored program contracts and grants and the summary for February 2001 is presented for Board acceptance.

WHEREAS monies are solicited and received on behalf of the University from governmental, industrial, and other agencies in support of research, instructional activities, and service; and

WHEREAS such monies are received through The Ohio State University Research Foundation:

NOW THEREFORE

BE IT RESOLVED, That the research agreement between The Ohio State University and The Ohio State University Research Foundation for the contracts and grants reported herein during the month of February 2001 be approved.

REPORT ON UNIVERSITY DEVELOPMENT

Resolution No. 2001-118

Synopsis: The report on the receipt of gifts and the summary for February 2001 are presented for Board acceptance.

WHEREAS monies are solicited and received on behalf of the University from alumni, industry, and various individuals in support of research, instructional activities, and service; and

WHEREAS such gifts are received through The Ohio State University Development Fund and The Ohio State University Foundation; and

WHEREAS this report includes the establishment of The George R. Smith Chair in Engineering, The Dr. Benjamin R. and Helen Slack Wiltberger Memorial Chair in Orthopaedic Surgery, The C. John Easton Professorship in Engineering, and The D. Warren Brown Designated Professorship in Leukemia Research; and

WHEREAS this report includes the establishment of nineteen (19) new named endowed funds and the amendment of one (1) named endowed fund:

NOW THEREFORE

BE IT RESOLVED, That the acceptance of the report from The Ohio State University Development Fund and The Ohio State University Foundation during the month of February 2001 be approved.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

TOTAL UNIVERSITY PRIVATE SUPPORT

July through February
1999-2000 Compared to 2000-2001

GIFT RECEIPTS BY DONOR TYPE

	Dollars <u>July through February</u>		
	<u>1999-2000</u>	<u>2000-2001</u>	<u>% Change</u>
Individuals:			
Alumni (Current Giving)	\$20,135,245	\$24,042,701	19
Alumni (From Bequests)	<u>4,603,843</u>	<u>5,451,535</u>	18
Alumni Total	\$24,739,088	\$29,494,236	19
Non-Alumni (Current Giving)	\$14,189,790	\$18,496,684	30
Non-Alumni (From Bequests)	<u>4,158,834</u>	<u>9,563,277</u>	130
Non-Alumni Total	\$18,348,543	\$28,059,961	53
Individual Total	\$43,087,631	\$57,554,197	34 ^A
Corporations/Corporate Foundations	\$24,607,996	\$26,871,270	9 ^B
Private Foundations	\$9,427,260	\$11,443,225	21 ^C
Associations and Other Organizations	<u>3,432,835</u>	<u>\$2,874,406</u>	(16) ^D
Total	\$80,555,722	\$98,743,098	23

NOTES

- A Individual giving is up 34% largely due to the fact that gifts of \$10,000 or more are up (374 gifts for \$29.0 million last year; 446 gifts for \$43.9 million this year).
- B Corporate giving is up 9%. Last year there were 452 corporate gifts providing private support of \$10,000 or more (\$19.1 million). This year private support at the \$10,000 level is \$21.6 million (465 gifts).
- C Foundation giving at the \$10,000 or more level is up for the first eight months of the fiscal year (\$10.7 million from 141 gifts this year; \$8.6 million from 137 gifts last year).
- D Gifts from associations and other organizations are down 16% since giving at the \$10,000 or more level is \$627,774 less than last year for the same period.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

TOTAL UNIVERSITY PRIVATE SUPPORT (contd)

July-February
1999-2000 Compared to 2000-2001

GIFT RECEIPTS BY PURPOSE

	Dollars <u>July through February</u>		
	<u>1999-2000</u>	<u>2000-2001</u>	<u>% Change</u>
Gift Receipts to Current Use and Endowment Funds:			
Buildings/Equipment	\$15,663,751	\$11,358,598	(27)
Faculty Support	\$10,348,788	\$9,662,629	(7)
Program Support	\$35,514,802	\$60,745,923	71
Student Financial Aid	\$12,043,436	\$9,269,786	(23)
Annual Funds-Colleges/Departments	\$5,768,436	\$6,612,284	15
Annual Funds-University Total	<u>\$1,216,509</u>	<u>\$1,093,878</u>	(10)
	\$80,555,722	\$98,743,098	23

GIFT ADDITIONS TO ENDOWMENT

Dollars <u>July through February</u>		
<u>1999-00</u>	<u>2000-01</u>	<u>% Change</u>
\$30,213,039	\$27,175,737	(10)

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY DEVELOPMENT FUND

	<u>Previous Funds</u>	<u>Current Funds</u>	<u>Total Funds</u>
<u>Establishment of Named Endowed Funds</u>			
The Ohio State University at Lima Scholars Fund (Provide scholarships of up to \$1,800 each annually, to assist undergraduate students who are attending The Ohio State University at Lima; provided by funds raised through gifts made to the Ohio State Lima Capital Campaign)		\$200,000.00	\$200,000.00
The Center for Law, Policy, and Social Science Fund (Support the operating needs of the Center as determined by the dean of the College of Law; provided by a gift from alumni and friends of the College of Law)		\$75,000.00	\$75,000.00
The Vernon G. and Jane S. Ward Aeronautical Research Fund (Support research in aeronautical and/or astronautical engineering within the Department of Aerospace Engineering and Aviation; provided by gifts from the remainder interest in a pooled income gift donated November 30, 1983, by the late Vernon G. Ward – grandfathered)	\$8,733.81		\$8,733.81
The Vernon G. and Jane S. Ward Horticulture Fund (Support horticulture research, extension and teaching programs in the Department of Horticulture and Crop Science; provided by gifts from the remainder interest in a pooled income gift donated November 30, 1983, by the late Vernon G. Ward – grandfathered)	\$6,247.00		\$6,247.00

Change in Name of Named Endowed Fund

From: Harry and Esther Sonkin Family Scholarship
for International Understanding and Peace

To: Harry and Esther Sonkin, Carol Bergman,
Jeri Sonkin Wasserman and Glenn R.
Wasserman Families Scholarship for
International Understanding and Peace

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION

	<u>Previous Funds</u>	<u>Current Funds</u>	<u>Total Funds</u>
<u>Establishment of Named Endowed Chairs</u>			
The George R. Smith Chair in Engineering (Provide support for a distinguished senior faculty position in the College of Engineering; provided by a gift from the estate of George R. Smith)	\$1,500,125.00	\$1,500,125.00	
The Dr. Benjamin R. and Helen Slack Wiltberger Memorial Chair in Orthopaedic Surgery (Provide for a chair position to exclusively support the advancement of medical knowledge in the field of orthopaedic surgery; provided by gifts from the estate of Helen Slack Wiltberger, made in memory of her late husband, Benjamin R. Wiltberger, M.D. - grandfathered)	\$1,300,000.00	\$1,300,000.00	
<u>Establishment of Named Endowed Professorship</u>			
The C. John Easton Professorship in Engineering (Fund the C. John Easton Professorship in Engineering; provided by sales proceeds from property given to The Ohio State University Foundation by Sensotec Inc. of Columbus, Ohio, and with additional gift funds from the College of Engineering)	\$588,552.93	\$558,552.92	
<u>Establishment of Named Designated Professorship</u>			
The D. Warren Brown Designated Professorship in Leukemia Research (Provide salary and research support of a professorship position in the field of leukemia research within the College of Medicine and Public Health, and the Comprehensive Cancer Center – The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute at The Ohio State University; provided by a grant of \$700,000 distributed over a five-year period from the Warren Brown Family Foundation)	\$100,000.00	\$100,000.00	
<u>Establishment of Named Endowed Funds</u>			
The Michael Oliver Garraway Memorial Scholarship Endowment Fund (Support one-half (1/2) cost of education scholarships for students enrolled full time in the College of Food, Agricultural, and Environmental Sciences, or enrolled full time in University College with the intent to enter that college; provided by gifts from Annie Marie Garraway and the estate of Michael Oliver Garraway)	\$137,500.00	\$137,500.00	

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

	<u>Previous Funds</u>	<u>Current Funds</u>	<u>Total Funds</u>
<u>Establishment of Named Endowed Funds (contd)</u>			
The Jeanne Lambert Research and Education Fund in Nanotechnology (Support the advancement of medical knowledge in the field of nanotechnology for both basic and clinical research; provided by gifts from Bill G. Lambert and Shelia Lambert)		\$125,000.00	\$125,000.00
The Alfred J. Weisbrod Family Scholarship Fund (Provide scholarship costs of student athletes who are pursuing undergraduate degrees at The Ohio State University and participating on the men's baseball team; provided by gifts from Alfred J. Weisbrod and family)	\$103,755.27	\$103,755.27	
The Dr. Harrison D. and Jeanette L. Fortney Athletic Scholarship Fund (Supplement the grant-in-aid scholarship costs of a student athlete who is a member of the varsity football team pursuing an undergraduate degree at The Ohio State University; provided by gifts from Dr. Harrison D. and Jeanette L. Fortney)		\$100,000.00	\$100,000.00
The Bernice Grimm Student Research Endowment Fund (Award stipends for veterinary students who are interested in veterinary research careers that benefit the health and welfare of animals; provided by gifts from the estate of Bernice Grimm)		\$80,000.00	\$80,000.00
The O'Connell Family Scholarship/Awards Endowment Fund (Fund one or more undergraduate scholarships for academically and/or financially deserving undergraduate computer and information science majors; provided by a gift from Christina M. O'Connell and Conleth S. O'Connell, Jr.)		\$50,000.00	\$50,000.00
The George R. Smith Fund (Commemorate George R. Smith and his desire to advance the quality of teaching and research within the University's College of Engineering; provided by gifts from the estate of George R. Smith)	\$40,575.00	\$40,575.00	
The Paul A. Weber Fellowship Fund in Ophthalmology (Provide research fellowships to graduate students in ophthalmology; provided by gifts from family members, friends, and colleagues and made in honor of the distinguished work and career of Paul A. Weber, M.D.)		\$34,195.00	\$34,195.00

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

	<u>Previous Funds</u>	<u>Current Funds</u>	<u>Total Funds</u>
<u>Establishment of Named Endowed Funds (contd)</u>			
The James R. Thomas Innovation Fund (Promote the activities of faculty and students in teaching, research, and service of Fisher College; provided by gifts from James R. Thomas)	\$31,250.38	\$31,250.38	
The Griffith Family Scholarship Endowment Fund (Support students who are enrolled in the College of Food, Agricultural, and Environmental Sciences; provided by gifts from William David, Phyllis Ann, Thomas Edward, and William Douglas Griffith)	\$28,006.28	\$28,006.28	
The Pendergast Global Leadership Endowed Fund (Provide grants to students, both international and American, who work in leadership roles to support and promote international education and understanding; provided by gifts from Margaret "Peg" Pendergast, family and friends)	\$27,033.00	\$27,033.00	
The Clarence A. MacDonald Athletic Scholarship Fund (Provide scholarship cost of a student athlete who is a member of the football team pursuing an undergraduate degree at The Ohio State University; provided by gifts from daughter Jean M. Maynard)		\$25,000.00	\$25,000.00
The O'Connell Family Staff Development Endowment Fund (Benefit computer and information science staff development; provided by a gifts from Christina M. O'Connell and Conleth S. O'Connell, Jr.)		\$25,000.00	\$25,000.00
The Gale E. Roshon Family Scholarship Fund (Supplement the grant-in-aid scholarship costs of student-athletes who are pursuing undergraduate degrees at The Ohio State University; provided by gifts from Gale E. Roshon)	\$25,000.00	\$25,000.00	
The Pamela and Dr. G. Scott Drew Endowed Scholarship Fund (Provide scholarships for undergraduate or graduate students at The Ohio State University at Marion; provided by a gift from Pamela and Dr. G. Scott Drew – grandfathered)		\$15,000.00	\$15,000.00
Total	\$14,980.81	\$4,610,992.86	\$4,625,973.67

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY DEVELOPMENT FUND

Establishment of Named Endowed Funds

The Ohio State University at Lima Scholars Fund

The Ohio State University at Lima Scholars Fund was established April 6, 2001, by the Board of Trustees of The Ohio State University with funds raised through gifts made to the Ohio State Lima Capital Campaign.

All gifts are to be invested in the University's Permanent Endowment Fund, under the rules and regulations adopted by the Board of Trustees of The Ohio State University, with the right to invest and reinvest as occasion dictates.

The annual income from principal shall be used for scholarships of up to \$1,800 each annually to assist undergraduate students who are attending The Ohio State University at Lima. Selection of the recipient(s) will be made by the Ohio State Lima Office of Financial Aid in consultation with the University Committee on Student Financial Aid.

It is the desire of the donors that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Board of Trustees with preference being given to recommendations from the appropriate administrative official of the University who is then directly responsible for The Ohio State University at Lima.

\$200,000.00

The Center for Law, Policy, and Social Science Fund

The Center for Law, Policy, and Social Science Fund was established April 6, 2001, by the Board of Trustees of The Ohio State University with a gift to The Ohio State University from alumni and friends of the College of Law.

All gifts are to be invested in the University's Permanent Endowment Fund, under the rules and regulations adopted by the Board of Trustees of The Ohio State University, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to support the operating needs of the Center as determined by the dean of the College of Law.

It is the desire of the donors that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Board of Trustees in consultation with the appropriate college dean, department chairperson, or program administrative officer in order to carry out the desire of the donors.

\$75,000.00

The Vernon G. and Jane S. Ward Aeronautical Research Fund

The Vernon G. and Jane S. Ward Aeronautical Research Fund was established April 6, 2001, by the Board of Trustees of The Ohio State University with funds received from the remainder interest in a pooled income gift donated November 30, 1983, by the late Vernon G. Ward, retired Department of Aeronautical and Astronautical Engineering staff member and former resident of Worthington, Ohio.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY DEVELOPMENT FUND (contd)

Establishment of Named Endowed Funds (contd)

The Vernon G. and Jane S. Ward Aeronautical Research Fund (contd)

All gifts are to be invested in the University's Permanent Endowment Fund, under the rules and regulations adopted by the Board of Trustees of The Ohio State University, with the right to invest and reinvest as occasion dictates.

Eighty percent of the annual income shall be used to support research in aeronautical and/or astronautical engineering within the Department of Aerospace Engineering and Aviation. The remaining 20 percent will be reinvested into the principal. Vernon E. Ward made this gift in appreciation for his memorable associations with faculty and staff colleagues during his service with the formerly titled Department of Aeronautical and Astronautical Engineering.

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Board of Trustees in consultation with the appropriate department chairperson or college dean in order to carry out the desire of the donor.

\$8,733.81 (grandfathered)

The Vernon G. and Jane S. Ward Horticulture Fund

The Vernon G. and Jane S. Ward Horticulture Fund was established April 6, 2001, by the Board of Trustees of The Ohio State University with funds received from the remainder interest in a pooled income gift donated November 30, 1983, by the late Vernon G. Ward, retired Department of Aeronautical and Astronautical Engineering staff member and former resident of Worthington, Ohio.

All gifts are to be invested in the University's Permanent Endowment Fund, under the rules and regulations adopted by the Board of Trustees of The Ohio State University, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to support horticulture research, extension, and teaching programs in the Department of Horticulture and Crop Science. The fund shall be administered by the chairperson of the Department of Horticulture and Crop Science.

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Board of Trustees in consultation with the vice president for Agricultural Administration and the chairperson of the Department of Horticulture and Crop Science or their successor(s) in order to carry out the desire of the donor.

\$6,247.00 (grandfathered)

Change in Name of Named Endowed Fund

Harry and Esther Sonkin, Carol Bergman, Jeri Sonkin Wasserman and Glenn R. Wasserman
Families Scholarship for International Understanding and Peace

The Harry and Carl Sonkin Memorial Award for Peace and International Understanding was established March 2, 1984, by the Board of Trustees of The Ohio State University with gifts to The Ohio State University Development Fund from friends and families of Harry and Carl Sonkin.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY DEVELOPMENT FUND (contd)

Change in Name of Named Endowed Fund (contd)

Harry and Esther Sonkin, Carol Bergman, Jeri Sonkin Wasserman and Glenn R. Wasserman
Families Scholarship for International Understanding and Peace (contd)

The name was changed to the Harry and Carl Sonkin Memorial Award for International Understanding and Peace on September 7, 1984. The fund's name was changed to The Harry and Esther Sonkin Family Scholarship for International Understanding and Peace and the description revised on February 5, 1988. The name of the fund was further revised on April 6, 2001.

All gifts are to be invested in the University's Permanent Endowment Fund, under the rules and regulations adopted by the Board of Trustees of The Ohio State University, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to provide one or more scholarships for a deserving graduate student(s) for research or study abroad that contributes to the pursuit of international understanding and peace. The graduate student(s) must be enrolled at The Ohio State University in an academic degree program with a focus on international problems. He or she may be in any department or interdisciplinary field. The graduate student(s) must have demonstrated excellence in scholarship and an aptitude for the program of study or research to be pursued under the Sonkin Scholarship. The graduate student(s) must intend to engage in research either at The Ohio State University or outside the United States that demonstrably is concerned with enhancing the understanding of people in different cultures, improving the quality of social justice among nations, or exploring methods for international conflict avoidance or conflict resolution.

Selection of the recipient(s) is to be made by the director of the Office of International Studies in cooperation with the dean of the College of Humanities, the director of the Mershon Center or their representatives, and the University Committee on Student Financial Aid. The criteria for the selection of recipients are subject to review by members of the Sonkin family and the concerned Ohio State University administrators.

Should the need for this fund cease to exist or so diminish as to provide unused income, then the income may be used for any purposes whatsoever as determined by the Board of Trustees with preference being given to recommendations from the appropriate administrative official of the University who is then directly responsible for academic programs in international studies.

THE OHIO STATE UNIVERSITY FOUNDATION

Establishment of Named Endowed Chairs

The George R. Smith Chair in Engineering

The George R. Smith Chair in Engineering was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with a gift from the estate of George R. Smith (B.C.E. 1935).

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income from this fund will provide support for a distinguished senior faculty position in the College of Engineering. Appointment for each five-year chair term will be recommended by the dean of Engineering and sent to the provost and the president and approved by the Board of

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Chairs (contd)

The George R. Smith Chair in Engineering (contd)

Trustees. Reappointment is possible after assessment of the chairholder's academic and research performance.

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board in consultation with the appropriate college dean, department chairperson, or program administrative officer in order to carry out the desire of the donor.

\$1,500,125.00

**The Dr. Benjamin R. and Helen Slack Wiltberger
Memorial Chair in Orthopaedic Surgery**

The Dr. Benjamin R. and Helen Slack Wiltberger Memorial Chair in Orthopaedic Surgery was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from the estate of Helen Slack Wiltberger (B.S.Ed. 1936) of Columbus, OH; and made in her name and that of her late husband, Benjamin R. Wiltberger, M.D. (B.A. 1936; M.D. – with honors, 1940), professor emeritus and orthopaedic surgeon.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall provide for a chair position to exclusively support the advancement of medical knowledge in the field of orthopaedic surgery, and, in particular, orthopaedic surgery of the spine, the same to include both basic and clinical research as well as treatment in the College of Medicine and Public Health. The position shall be held by a nationally eminent orthopaedic surgeon/faculty member as recommended by the chairperson of the Department of Orthopaedics in consultation with the senior vice president for Health Sciences and dean of the College of Medicine and Public Health, and with those individuals identified in the trust document (attached to original documents) as directed by the aforementioned estate. The activities of the endowed chairholder shall be reviewed no less than every five years by the senior vice president and dean to determine compliance with the intent of the donor as well as the academic and research standards of the University.

The research activities of the chairholder may also be supported, to include research personnel, equipment, supplies, and other necessary expenses of an active researcher involved in quality medical research. After the aforementioned allocation of funds, any unused portion may be utilized at the discretion of the chairperson of the Department of Orthopaedics for advancements in the field of orthopaedics in consultation as stated above.

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Board of Trustees in consultation with the chairperson of the Department of Orthopaedics as well as the senior vice president for Health Sciences and dean of the College of Medicine and Public Health in order to carry out the desire of the donor.

\$1,300,000.00 (grandfathered)

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Professorship

The C. John Easton Professorship in Engineering

The C. John Easton Professorship in Engineering was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with sales proceeds from property given to The Ohio State University Foundation by Sensotec Inc. of Columbus, Ohio, and with additional gift funds from the College of Engineering.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

It is the intent of the College of Engineering through this permanent fund to recognize C. John Easton for his professional accomplishments and to honor engineering faculty who couple innovative engineering with business acumen as Mr. Easton has. The annual income from this endowment will fund The C. John Easton Professorship in Engineering, an honor awarded each five years to recognize and support entrepreneurial leadership within the College of Engineering's faculty. Professorship selection will be based upon innovative research, pedagogy and/or curricular development. Appointment for each five-year term will be recommended by the dean of Engineering and sent to the provost and the president and approved by the Board of Trustees. Holders of the professorship may be considered for renewal.

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board in consultation with the appropriate college dean, department chairperson, or program administrative officer in order to carry out the desire of the donor.

\$588,552.93

Establishment of Named Designated Professorship

The D. Warren Brown Designated Professorship in Leukemia Research

The D. Warren Brown Designated Professorship in Leukemia Research at the Comprehensive Cancer Center – The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute was established April 6, 2001, in accordance with guidelines established by the Board of Directors of The Ohio State University Foundation. This professorship is in memory of Warren Brown of Marion, Ohio, and is being established with a grant of \$700,000 distributed over a five-year period from the Warren Brown Family Foundation of Marion, Ohio, with the first annual gift having been received.

The annual gift shall provide salary and research support of a professorship position in the field of leukemia research within the College of Medicine and Public Health, and the Comprehensive Cancer Center – The Arthur G. James Cancer Hospital and Richard J. Solove Research Institute at The Ohio State University. The position shall be held by a nationally eminent faculty member as recommended by the director of the James Cancer Hospital and Solove Research Institute, and the director of the Comprehensive Cancer Center to the senior vice president for Health Sciences and dean of the College of Medicine and Public Health. The activities of the designated professor shall be reviewed no less than every five years by the directors and the dean to determine compliance with the intended purpose of the position as well as the academic and research standards of the University.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Designated Professorship (contd)

The D. Warren Brown Designated Professorship in Leukemia Research (contd)

Salary and research support of the designated professor shall include, but not be limited to, direct salary, research personnel, equipment, supplies and other necessary expenses of an active scientist involved in quality medical research in the field of leukemia.

The designated professorship may be renewed at the prevailing amount and term at the time of renewal.

\$100,000.00

Establishment of Named Endowed Funds

The Michael Oliver Garraway Memorial Scholarship Endowment Fund

The Michael Oliver Garraway Memorial Scholarship Endowment Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from his wife, Annie Marie Garraway, and the estate of Michael Oliver Garraway, professor emeritus in the Department of Plant Pathology.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to support one-half (1/2) of the cost of education scholarships for students enrolled full time in the College of Food, Agricultural, and Environmental Sciences, or enrolled full time in University College with the intent to enter that college, with a preference for students native of Dominica or the West Indies. The scholarship may be renewable for a total of 12 University quarter periods. While both undergraduate and graduate students may be considered for awards, the income shall not be used to provide graduate student stipends. Two students can be supported simultaneously.

Preference is for first-generation college students. If no Dominica student is identified, the second preference is for students from islands comprising the Organization of Eastern Caribbean States including Anguilla, Antigua and Barbuda, British Virgin Islands, Grenada, Montserrat, St. Kitts and Nevis, St. Lucia, St. Vincent, and the Grenadines. If no students from those islands apply or qualify, third preference is for students from Bahamas, Barbados, Jamaica, Trinidad, and Tobago.

If no suitable applicant from Dominica or another specified island is identified in an award year, then the award may be made to the College's Caribbean Study Abroad Program, on the approval of the donor's representative.

Student recipients should maintain an approximate "B" grade point average. Expectations for the student recipient's integrity, dependability, and consideration for others, cooperation with fellow students, with teachers, and the community will be stated in their letter of notification from the College.

The use of the annual income shall be directed by the Garraway Scholarship Committee directed by the College of Food, Agricultural, and Environmental Sciences or their designee in consultation with the University Committee on Student Financial Aid with representation from the faculty and the Garraway family if desired.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Funds (contd)

The Michael Oliver Garraway Memorial Scholarship Endowment Fund (contd)

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board in consultation with the vice president for Agricultural Administration or their successor, in order to carry out the desire of the donor.

\$137,500.00

The Jeanne Lambert Research and Education Fund in Nanotechnology

The Jeanne Lambert Research and Education Fund in Nanotechnology was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts designated for support of The Ohio State University College of Medicine and Public Health, from Bill G. Lambert (B.S.Bus.Adm. 1968) and Shelia Lambert, New York, New York.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to support the advancement of medical knowledge in the field of nanotechnology for both basic and clinical research towards combating some of the most widespread and deadly diseases including diabetes, cancer, and heart disease. Specifically, these funds will support medical research activities in nanotechnology and may include research personnel, equipment, supplies and/or other necessary expenses of active researchers in the academic medical center. Distribution will be made at the recommendation of the senior vice president for Health Sciences and dean of the College of Medicine and Public Health, in consultation with the associate dean for research in the College of Medicine and Public Health and director of the Department of Biomedical Engineering. Any unused income shall be added to principal.

It is the desire of the donor(s) that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board in consultation with the donor or his heirs, the senior vice president for Health Sciences and the dean of the College of Medicine and Public Health in order to carry out the desire of the donor(s).

\$125,000.00

The Alfred J. Weisbrod Family Scholarship Fund

The Alfred J. Weisbrod Family Scholarship Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from Alfred J. Weisbrod (B.S.Ed. 1965) and family of Dayton, Ohio. This scholarship was established by the Department of Athletics.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to provide scholarship costs of student athletes who are pursuing undergraduate degrees at The Ohio State University and participating on the men's baseball team. Recipients shall be selected by the director of Athletics in consultation with the University Committee on Student Financial Aid.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Funds (contd)

The Alfred J. Weisbrod Family Scholarship Fund (contd)

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board as recommended by the director of Athletics in order to carry out the desire of the donor.

\$103,755.27

The Dr. Harrison D. and Jeanette L. Fortney Athletic Scholarship Fund

The Dr. Harrison D. and Jeanette L. Fortney Athletic Scholarship Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from Dr. Harrison D. (D.D.S. 1965) and Jeanette L. Fortney of San Diego, California.

The scholarship is being given in honor of Dr. Fortney's parents Harrison and Vaughn Fortney and former coaches Woody Hayes and Lyal Clark.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to supplement the grant-in-aid scholarship costs of a student athlete who is a member of the varsity football team pursuing an undergraduate degree at The Ohio State University. The first preference for the recipient of this award is a football player majoring in pre-dentistry. The second preference is a football player playing in the defensive secondary. Recipients shall be selected by the director of Athletics in consultation with the University Committee on Student Financial Aid.

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board as recommended by the director of Athletics in order to carry out the desire of the donor.

\$100,000.00

The Bernice Grimm Student Research Endowment Fund

The Bernice Grimm Student Research Endowment Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from the estate of Bernice Grimm, Akron, Ohio.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to award stipends for veterinary students who are interested in veterinary research careers that benefit the health and welfare of animals. Students must be enrolled in a summer research project at the College of Veterinary Medicine. Student applicants will be selected and assigned to a research advisor according to established rules of the college research office. Awards will be made in consultation with the University Committee on Student Financial Aid.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Funds (contd)

The Bernice Grimm Student Research Endowment Fund (contd)

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board as recommended by the dean of the College of Veterinary Medicine in order to carry out the desire of the donor.

\$80,000.00

The O'Connell Family Scholarship/Awards Endowment Fund

The O'Connell Family Scholarship/Awards Endowment Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with a gift from Christina M. O'Connell and Conleth S. O'Connell, Jr. (M.S. Computer and Information Science, 1986, Ph.D. Computer and Information Science, 1990) of Austin, Texas.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

A portion of the annual income shall be used to fund one or more undergraduate scholarships for academically and/or financially deserving undergraduate computer and information science majors. Selection will be made by the Department of Computer and Information Science chairperson in cooperation with the University Committee on Student Financial Aid.

A second portion of the earnings will support annually three separate awards for outstanding teachings, research and service by Computer and Information Science faculty, students and staff. The department chairperson will oversee the award selection process. Any remaining income may be reinvested into the principal or held for use in subsequent years. The chairperson may consult with the donors to discuss these options.

It is the desire of the donors that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board in consultation with the appropriate department chairperson in order to carry out the desire of the donors.

\$50,000.00

The George R. Smith Fund

The George R. Smith Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from the estate of George R. Smith (B.C.E. 1935).

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to commemorate George R. Smith and his desire to advance the quality of teaching and research within the University's College of Engineering. The dean of the College of Engineering will be responsible for allocating these discretionary earnings in ways to enhance the College.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Funds (contd)

The George R. Smith Fund (contd)

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board in consultation with the dean of Engineering in order to carry out the desire of the donor.

\$40,575.00

The Paul A. Weber Fellowship Fund in Ophthalmology

The Paul A. Weber Fellowship Fund in Ophthalmology was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation with gifts from family members, friends and colleagues and made in honor of the distinguished work and career of Paul A. Weber, M.D. (professor and past chairperson, Department of Ophthalmology) of Columbus, Ohio.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation Board of Directors with the right to invest and reinvest as occasion dictates.

The annual income shall be used to provide research fellowships to graduate students in Ophthalmology. The Paul A. Weber Fellowship Award in Ophthalmology may provide a stipend for one or more medical students or residents to undertake both basic and clinical research on diseases and treatment of the eye. The income may also support scientific supplies, equipment, salaries for research personnel and other related activities required for their medical research. Selection and administration of the fellowship shall be made at the recommendation of the chairperson of the Department of Ophthalmology in consultation with the senior vice president for Health Sciences and dean of the College of Medicine and Public Health.

It is the desire of the donors that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Board of Trustees in consultation with the chairperson of the Department of Ophthalmology and with the senior vice president for Health Sciences and dean of the College of Medicine and Public Health in order to carry out the desire of the donors.

\$34,195.00

The James R. Thomas Innovation Fund

The James R. Thomas Innovation Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from James R. Thomas (B.S.Bus.Adm. cum laude 1950).

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used by the dean of Fisher College to promote the activities of faculty and students in teaching, research and service.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Funds (contd)

The James R. Thomas Innovation Fund (contd)

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board as recommended by the person or unit with spending authority and/or appropriate University official in order to carry out the desire of the donor.

\$31,250.38

The Griffith Family Scholarship Endowment Fund

The Griffith Family Scholarship Endowment Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from William David (B.S.Agr. 1961), Phyllis Ann (B.S. – Medical Technology, 1962), Thomas Edward (B.S.Agr. 1991), and William Douglas Griffith (B.S. – Agronomy, 1988), of Ada, Ohio.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to support students who are enrolled in the College of Food, Agricultural, and Environmental Sciences, including incoming freshman. First preference shall go to a student from Hardin County; second preference shall go to any student in the College who resides in any county adjacent to Hardin County. Selection will be based on scholastic achievement, leadership and community service. Recipients shall be selected by the Hardin County Alumni Association in consultation with the University Committee on Student Financial Aid.

It is the desire of the donors that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board in consultation with the vice president for Agricultural Administration, or their successor(s), or an appropriate administrative officer, or their successor, in order to carry out the desire of the donors.

\$28,006.28

The Pendergast Global Leadership Endowed Fund

The Pendergast Global Leadership Endowed Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from Margaret "Peg" Pendergast, family, and friends. Peg Pendergast and her late husband Web Pendergast served as community volunteers for decades in the Office of International Studies to promote international education and understanding.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to provide grants to students, both international and American, who work in leadership roles to support and promote international education and understanding. Awards will be made in consultation with the University Committee on Student Financial Aid.

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Funds (contd)

The Pendergast Global Leadership Endowed Fund (contd)

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board as recommended by the director of the Office of International Studies in order to carry out the desire of the donor.

\$27,033.00

The Clarence A. MacDonald Athletic Scholarship Fund

The Clarence A. MacDonald Athletic Scholarship Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from daughter Jean M. Maynard (B.S. – Human Ecology 1946) of Short Hills, New Jersey.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to provide the scholarship cost of a student athlete who is a member of the football team pursuing an undergraduate degree at The Ohio State University. The recipient shall be selected by the director of Athletics in consultation with the University Committee on Student Financial Aid.

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board as recommended by the director of Athletics in order to carry out the desire of the donor.

\$25,000.00

The O'Connell Family Staff Development Endowment Fund

The O'Connell Family Staff Development Endowment Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with a gift from Christina M. O'Connell and Conleth S. O'Connell, Jr. (M.S. Computer and Information Science, 1986, Ph.D. Computer and Information Science, 1990) of Austin, Texas.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used by Computer and Information Science's chairperson to benefit staff development. Any remaining funds could be used in a discretionary manner by the chairperson to advance the Department as a whole. The chairperson may consult with the donors to discuss options such as reinvesting into the principal, using the emerging priorities and holding for use in subsequent years.

It is the desire of the donors that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board in consultation with the appropriate department chairperson in order to carry out the desire of the donors.

\$25,000.00

REPORT ON UNIVERSITY DEVELOPMENT (contd)

THE OHIO STATE UNIVERSITY FOUNDATION (contd)

Establishment of Named Endowed Funds (contd)

The Gale E. Roshon Family Scholarship Fund

The Gale E. Roshon Family Scholarship Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with gifts from Gale E. Roshon (B.I.E. 1949).

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to supplement the grant-in-aid scholarship costs of student-athletes who are pursuing undergraduate degrees at The Ohio State University. The first preference will be given to undergraduate student-athletes coming from rural communities and who are pursuing a degree in engineering. Recipients shall be selected by the director of Athletics in consultation with the University Committee on Student Financial Aid.

It is the desire of the donor that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board as recommended by the director of Athletics in order to carry out the desire of the donor.

\$25,000.00

The Pamela and Dr. G. Scott Drew Endowed Scholarship Fund

The Pamela and Dr. G. Scott Drew Endowed Scholarship Fund was established April 6, 2001, in accordance with the guidelines approved by the Board of Directors of The Ohio State University Foundation, with a gift from Pamela and Dr. G. Scott Drew of Marion, Ohio.

All gifts are to be invested by the Foundation, under the rules and regulations adopted by the Foundation's Board of Directors, with the right to invest and reinvest as occasion dictates.

The annual income shall be used to provide scholarships for undergraduate or graduate students at The Ohio State University at Marion. Full scholarships may be given to full-time or part-time students and are renewable. Whenever possible, the donors or their designees would like to meet the annual recipients. Awards will be made in consultation with the University Committee on Student Financial Aid.

It is the desire of the donors that this fund should benefit the University in perpetuity. If the need for this fund should cease to exist or so diminish as to provide unused income, then another use shall be designated by the Foundation Board as recommended by the dean/director of The Ohio State University at Marion, in consultation with The Ohio State University Marion Scholarship Committee, in order to carry out the desire of the donors.

\$15,000.00 (grandfathered)

**EMPLOYMENT OF ARCHITECTS/ENGINEERS, EMPLOYMENT OF
CONSTRUCTION MANAGER, REQUEST FOR CONSTRUCTION BIDS,
AND REPORT OF AWARD OF CONTRACTS**

Resolution No. 2001-119

WEXNER CENTER – BUILDING RENOVATIONS
EVANS LAB LECTURE ROOM RENOVATION
RHODES HALL – COMPLETE SHELLLED SPACE
MARION CAMPUS – RENOVATIONS
FISHER COLLEGE OF BUSINESS – EXECUTIVE RESIDENCE
LIMA CAMPUS – GALVIN HALL THIRD FLOOR RENOVATION
MRI – CLINICAL FACILITY EXPANSION
UTILITIES STEAM LINE UPGRADE

Synopsis: Authorization to employ a construction manager for the Wexner Center – Building Renovation project, authorization to employ architect/engineering firms and request construction bids for the Marion Campus – Renovations and Evans Lab Lecture Hall Renovation projects, request construction bids for the Rhodes Hall – Complete Shelled Space project, and acceptance of the report of award of contracts for the Fisher College of Business – Executive Residence, Lima Campus – Galvin Hall Third Floor Renovation, MRI – Clinical Facility Expansion, and Utilities Steam Line Upgrade projects are requested.

WHEREAS the University desires to employ a construction manager to assist with the design and construction of the renovations and retrofit of the Wexner Center for the Arts to correct building envelope and system problems, improve public circulation, and enhance security; and

WHEREAS the total estimated project cost is \$10,000,000 and the total estimated construction cost is \$7,000,000, with funding provided by House Bill 640 (\$1,000,000) and University Funds (\$9,000,000); and

WHEREAS the University desires to renovate the lecture hall room 1008 in Evans Lab; and

WHEREAS the total estimated project cost is \$679,530 and the total estimated construction cost is \$449,000, with funding provided by House Bill 640 (\$449,000) and House Bill 790 (\$230,530); and

WHEREAS University Hospitals desires to finish approximately 4,000 square feet of floor area to create several small conference/classrooms adjacent to the Rhodes Hall Staff Dining Room and Rhodes Hall Auditorium; and

WHEREAS the total estimated project cost is \$508,000 and the total estimated construction cost is \$402,008, with funding provided by University Hospitals; and

WHEREAS the University desires to proceed with various renovations at the Marion Campus; and

WHEREAS the total estimated project cost is \$120,626 and the total estimated construction cost is \$76,276, with funding provided by House Bill 640; and

WHEREAS resolutions adopted by the Board of Trustees on February 5, 1999, July 2, 1999, and December 3, 1999 authorized the President and/or Vice President for Business and Finance to request construction bids in accordance with established University procedures, and if satisfactory bids were received to award contracts for the following project:

(* Recommended alternates included in these amounts)

**EMPLOYMENT OF ARCHITECTS/ENGINEERS, EMPLOYMENT OF
CONSTRUCTION MANAGER, REQUEST FOR CONSTRUCTION BIDS,
AND REPORT OF AWARD OF CONTRACTS (contd)**

Fisher College of Business – Executive Residence

This project constructs a quality, first-class executive residence to provide guest rooms, physical fitness facilities, banquet facilities, and informal gathering area for executives attending Executive Education Programs at the Fisher College of Business. The total project cost is \$24,208,234; funding is provided by University bond proceeds with debt service paid by Housing, Food Services and Events Centers. The estimated completion date is February 2002. The contracts awarded are as follows:

Design:	Karlsberger Corp., Columbus, Ohio
Sitework Contract:	George J. Igel Company, Columbus, Ohio
Amount:	\$437,000
Estimate:	\$465,693
Landscape Contract:	Rine Service Group, Inc., Columbus, Ohio
Amount:	\$47,613
Estimate:	\$51,973
Combined Site Concrete/Cast in Place Concrete Contract:	Baker Concrete Construction, Inc., Monroe, Ohio
Amount:	\$4,160,000 +
Estimate:	\$3,124,019
Masonry Contract:	Riverside Masonry dba C & R Masonry, Detroit, Michigan
Amount:	\$1,454,000 *
Estimate:	\$1,564,520 *
Structural Steel Contract:	CHC Fabricating Corp., Cincinnati, Ohio
Amount:	\$479,600 +
Estimate:	\$273,925
Miscellaneous Metals Contract:	Wanner Metal Worx, Inc., Delaware, Ohio
Amount:	\$387,950
Estimate:	\$389,103
Finish Carpentry/Millwork/Misc. Accessories Contract:	Gleeson Construction, Inc., Chagrin Falls, Ohio
Amount:	\$1,490,500 * +
Estimate:	\$1,355,949 *
Fireproofing Contract:	Omni Fireproofing Co., Inc., Fairfield, Ohio
Amount:	\$58,568 +
Estimate:	\$35,910
Roofing Contract:	Harold J. Becker Company, Inc., Dayton, Ohio
Amount:	\$306,180 +
Estimate:	\$274,116
Doors/Frames/Hardware Contracts:	BSH – Columbus, Reynoldsburg, Ohio
Amount:	\$227,500 *
Estimate:	\$336,182 *
Windows/Curtainwall/ Glazing Contract:	JMD Architectural Products, Hilliard, Ohio
Amount:	\$774,000 +
Estimate:	\$661,063
Drywall/Rough Carpentry Contract:	Acoustic Ceiling and Partition Company of Ohio, Inc., Dublin, OH
Amount:	\$1,639,700 *
Estimate:	\$1,744,413 *
Stone Flooring Contract:	Dupont Flooring Systems, Columbus, Ohio
Amount:	\$99,000 +
Estimate:	\$98,866

**EMPLOYMENT OF ARCHITECTS/ENGINEERS, EMPLOYMENT OF
CONSTRUCTION MANAGER, REQUEST FOR CONSTRUCTION BIDS,
AND REPORT OF AWARD OF CONTRACTS (contd)**

Fisher College of Business – Executive Residence (contd)

Ceramic Resilient Contract:	Dupont Flooring Systems, Columbus, Ohio
Amount:	\$329,895
Estimate:	\$451,674
Painting Contract:	Kastra Painting, Inc., Lewis Center, Ohio
Amount:	\$227,000
Estimate:	\$260,558
Kitchen Equipment/ Refrigerators Contract:	Louis R. Polster Company, Columbus, Ohio
Amount:	\$591,190
Estimate:	\$685,323
Elevator Contract:	Thyssen Dover Elevator, Westerville, Ohio
Amount:	\$562,489 +
Estimate:	\$498,500
HVAC Contract:	Limbach Company, Columbus, Ohio
Amount:	\$2,109,003 * +
Estimate:	\$1,798,810 *
Plumbing Contract:	Bruner Corporation, Hilliard, Ohio
Amount:	\$1,131,800 *
Estimate:	\$1,155,389 *
Fire Protection Contract:	Dalmation Fire, Inc., Hilliard, Ohio
Amount:	\$288,000 +
Estimate:	\$271,289
Electric Contract:	Accurate Electric Construction, Columbus, Ohio
Amount:	\$2,056,400 *
Estimate:	\$2,436,432 *
Laborer Contract:	Apex/M & P Construction, Blacklick, Ohio
Amount:	\$665,500 +
Estimate:	\$663,188
Total All Contracts:	\$19,522,888
Contingency Allowance:	\$1,298,592
Total Project Cost:	\$24,208,234

+ The Combined Site Concrete/Cast in Place Concrete, Structural Steel, Finish Carpentry/Millwork/Miscellaneous Accessories, Fireproofing, Roofing, Windows/Curtainwall/ Glazing, Stone Flooring, Elevator, HVAC, Fire Protection, and Laborer contracts are in excess of the filed estimate of cost; however the total price of all contracts is within 10% of the total estimate of cost and is recommended for award as provided by Section 153.12 of the Revised Code.

Lima Campus – Galvin Hall Third Floor Renovation

This project renovates the third floor laboratory and classroom space into classroom space. The total project cost is \$1,118,330; funding is provided by House Bill 850. The estimated completion date is November 2001. The contracts awarded are as follows:

Design:	Seyfang Blanchard Duket Porter, Toledo, Ohio
General Contract:	Brumbaugh & Lacy, Inc., Celina, Ohio
Amount:	\$219,100
Estimate:	\$430,155
Plumbing Contract:	John P. Timmerman, Lima, Ohio
Amount:	\$17,436
Estimate:	\$20,704

April 6, 2001 meeting, Board of Trustees

**EMPLOYMENT OF ARCHITECTS/ENGINEERS, EMPLOYMENT OF
CONSTRUCTION MANAGER, REQUEST FOR CONSTRUCTION BIDS,
AND REPORT OF AWARD OF CONTRACTS (contd)**

Lima Campus – Galvin Hall Third Floor Renovation (contd)

HVAC Contract:	Gast Plumbing & Heating, Inc., Lima, Ohio
Amount:	\$41,264
Estimate:	\$70,313
Electric Contract:	Sollman Electric Company, Sidney, Ohio
Amount:	\$169,360 *
Estimate:	\$205,510 *
Hazardous Material Contract:	Seneca Systems, Inc., Tiffin, Ohio
Amount:	\$23,203 *
Estimate:	\$39,000 *
Total All Contracts:	\$470,363
Contingency Allowance:	\$343,352
Total Project Cost:	\$1,118,330

MRI – Clinical Facility Expansion

This project constructs a one-story addition of approximately 1,500 gross square feet to the existing MRI facility to house a new magnet room, control room, changing rooms, and patient holding area. The total project cost is \$1,200,000; funding is provided by University Hospitals. The estimated completion date is December 2001. The contracts awarded are as follows:

Design:	DSI Architects, Columbus, Ohio
General Contract:	Childers Corp., Dublin, Ohio
Amount:	\$769,998
Estimate:	\$770,000
Total All Contracts:	\$769,998
Contingency Allowance:	\$108,110
Total Project Cost:	\$1,200,000

Utilities Steam Line Upgrade

This project replaces approximately 1,200 feet of 4" high pressure steam line and companion condensate line in the South Neil tunnel with 8" lines. The total project cost is \$1,203,868; funding is provided by House Bill 748 (\$228,270), House Bill 850 (\$700,000) and Department of Physical Facilities (\$275,598). The estimated completion date is February 2001. The contracts awarded are as follows:

Design:	The Ohio State University
HVAC Contract:	Kirk Williams, Columbus, Ohio
Amount:	\$798,000
Estimate:	\$850,000
Total All Contracts:	\$798,000
Contingency Allowance:	\$355,398
Total Project Cost:	\$1,200,000

NOW THEREFORE

BE IT RESOLVED, That the President and/or Vice President for Business and Finance be authorized to select qualified architectural/engineering firms as necessary for the Evans Laboratory Lecture Room Renovation and Marion Campus - Renovations projects and that the fees for these services be negotiated between the firm selected and the University; and

**EMPLOYMENT OF ARCHITECTS/ENGINEERS, EMPLOYMENT OF
CONSTRUCTION MANAGER, REQUEST FOR CONSTRUCTION BIDS,
AND REPORT OF AWARD OF CONTRACTS (contd)**

BE IT FURTHER RESOLVED, That the President and/or Vice President for Business and Finance be authorized to select qualified construction manager firms as necessary for the Wexner Center – Building Renovations project and that the fees for these services be negotiated between the firm selected and the University; and

BE IT FURTHER RESOLVED, That the President and/or Vice President for Business and Finance be authorized to request construction bids for the Evans Laboratory Lecture Room Renovation, Marion Campus – Renovations, and Rhodes Hall – Complete Shelled Space projects in accordance with established University and State of Ohio procedures, and if satisfactory bids are received, to issue contracts with all actions to be reported to this Board at the appropriate time; and

BE IT FURTHER RESOLVED, That pursuant to the actions previously authorized by the Board, the report of award of contracts and establishment of contingency funds for the Fisher College of Business – Executive Residence, Lima Campus – Galvin Hall Third Floor Renovation, MRI – Clinical Facility Expansion, and Utilities Steam Line Upgrade projects is hereby accepted.

(Appendix XXXV for maps, page 853.)

Upon motion of Mr. Skestos, seconded by Ms. Longaberger, the Board of Trustees adopted the foregoing resolutions by unanimous roll call vote, cast by Messrs. Skestos, Brennan, Patterson, Sofia, Slane, McFerson, and Judge Duncan, Ms. Longaberger, and Ms. Hendricks.

--0--

STUDENT RECOGNITION AWARD

Mr. Filiatraut:

Ladies and gentlemen, I'd like to introduce to you a person who does not need much of an introduction around here -- Jonathan Beard. He has been nominated by Dean Dottavio to receive the Student Recognition Award today.

Jonathan received his Associate of Arts degree from OSU-Marion in March 2000; his Bachelor of Science in Education degree from OSU-Marion in June 2000; and will be completing his Master of Education degree in June 2002, again, from OSU-Marion.

Jonathan is quite involved around here at OSU-Marion. In fact, I doubt that the Office of Student Financial Aid would run so well without him. Jonathan created several relational data bases that manage and track the entire financial aid system, which includes scholarship awarding, processing, federal work study form processing, student tracking, and another system that tracks all the information that OSU-Marion sends to main campus. He did this so each member of the staff could just point and click their way to an easier workday. After, of course, he trained them on how it works.

Additionally, Jonathan created a data base for the Office of Student Financial Aid that creates a report of all the information of how scholarship funds were used in a given year for use by the financial aid office to report to the Columbus Foundation, an outside organization that manages one of the largest scholarship accounts at OSU-Marion. For this and other work for the financial aid office, Jonathan received the Marion Campus Appreciation Award in October of last year.

STUDENT RECOGNITION AWARD (contd)

Mr. Filiatraut: (contd)

As an undergraduate, Jonathan was student coordinator of Student Activities and Recreation, and administrative assistant in charge of building operations for the George H. Alber Student Center at OSU-Marion and the Marion Technical College. Jonathan planned and organized all student activities and programs for the campus, and was also in charge of building operations. He supervised a staff of 8 to 10 students who also assisted with the planning of these activities.

Additionally, Jonathan is the student representative to the Marion Campus Outreach and Engagement Committee. The committee is focused on providing activities and programming that directly relate to the OSU-Marion service area, and his current project is implementing the OSU-Marion's Outreach and Engagement portion of the Academic Plan.

Specifically, the committee is fostering collaborations between Arts and Sciences faculty and Education faculty, P-12 education, in general, and, to some extent, economic development and community renewal. On his experience on this committee, Jon told me that, and I quote, "I feel being a part of this committee has given me a broader focus on the world outside of our walls here at OSU-Marion and how I can help to make the world a better place."

To top it all off, Jonathan is involved with the community outside the OSU-Marion campus. He serves as the event headquarters manager for the Ohio Music Educators Association District II Solo and Ensemble Adjudicated Event. This is a volunteer position for an event where approximately 500 high school students compete in vocal and instrumental contests. This is a one-day event held at Marion Harding High School -- which is Jonathan's alma mater -- where, under the direction of a contest chair, Jonathan is in charge of reporting the scores for the contest, answering questions from directors and judges, and maintaining general order. He had done this for the past five years.

Ladies and gentlemen of The Ohio State University, on behalf of President Kirwan and the Board of Trustees, I present to you this month's Student Recognition Award recipient, Mr. Jonathan Beard.

Mr. Jonathan Beard:

I'd like to thank the Board for this wonderful recognition. I have to say when I received Kevin's e-mail, I was very surprised -- it is an honor.

I also have to recognize Dr. Dottavio. Through his constant leadership and concern for the students here at this campus, I feel that he constantly tries to make the students feel that this is a better and a good place to be. Also, he constantly makes a difference in the lives of all the students. Thank you very much.

--0--

REPORT ON COMPENSATION BENCHMARKS

Provost Edward J. Ray:

The purpose of the presentation this morning is to begin our discussion about compensation and proposed compensation changes for FY 2002. As part of that process, we expect to come back to the Board with specific discussions and recommendations for compensation at the May Board meeting.

REPORT ON COMPENSATION BENCHMARKS (contd)

Provost Ray: (contd)

The purpose of today's discussion is to give you a preliminary sense of what the compensations are at Ohio State. We like to benchmark both against peer institutions and against our own performance, so today's discussion is to give you a sense of what the context is within which we'll be discussing compensation issues in May and beyond.

I'd like to introduce, Vice Provost Nancy Rudd, Associate Vice President Larry Lewellen, and the new Director of Compensation, J Henderson, and turn the presentation over to them.

Mr. Larry Lewellen:

Thank you, Ed. The handouts are in your Board books, if you would like to follow along. I'm just going to give a quick overview and then turn it over to Nancy to talk about faculty compensation competitiveness and then J to talk about staff compensation competitiveness.

On the second page it frames our presentation -- we're changing this to a question and answer format -- so the questions we're answering are the traditional ones: How is the market moving? How do we compare to the market? How are we investing our salary dollars? We even have a bit of a new item on investing our salary dollars, looking at how we invest for diversity.

We've added a new item on the fourth bullet: How does our financial support for graduate associates compare? We're now going to be comparing and reporting annually on faculty, staff, and graduate associates as we move forward.

Finally, there was a question from the financial benchmarks report last month that we have a follow-up chart on, which is "What is our history of the cost of benefits as a percent of payroll?" That is an ad hoc question that we're bringing back.

As far as how is the market moving, there's two pieces to that. What's our five-year increase budget history and what's the outlook for the upcoming fiscal year?

There is a chart following that has a number of multicolored bars intended to show how Ohio State's past five-year salary budget history is compared with our benchmarks. The point we want to make with this is if you look at the group to the left of Ohio State University -- which has in sum totaled larger salary adjustments in the past five years -- you will see from UCLA to Michigan that they've had at least one or two years -- highlighted in blue -- that are five percent or larger. There have been efforts by their legislature to invest in their faculty or staff and boost their competitiveness.

As you can see in our history, we did have an effort of our own to do that five years ago, but have not been able to compete with that since. This follows -- and what Nancy will show the result of that -- President Kirwan's comments about the fact that we have been slipping.

The page following that is an overall summary across faculty and staff markets nationally all the way through Ohio, as to what we think employers are projecting. This is both from consulting reports and from our ad hoc queries to other institutions and employers. It's even a little bit out-of-date. This was prepared a month ago and, as the economy has worsened, some of the projections have worsened a bit, especially in the State of Ohio. This gives you a flavor of what

REPORT ON COMPENSATION BENCHMARKS (contd)

Mr. Lewellen: (contd)

employers are talking about in light of our budget decision we need to make and why.

With that, I'm going to turn it over to Nancy to talk about how we compare to the market for faculty compensation.

Dr. Nancy Rudd:

We have three graphs that present data with regard to the competitiveness of our faculty salaries. This has been observed several times how the picture painted by these graphs is not a happy one.

On the first graph, we have data from two years ago, last year and this year, with respect to our ranking among the benchmark institutions. You can see that our ranking is deteriorating. In 1998-1999, our rank-adjusted salaries were 1.9 percent the benchmark average. Last year, they were 2.5 percent below that average and this year they are 2.9 percent below the average. If you had more years on this graph, you would see that this trend has been continuing ever since we had our larger raise in 1995-1996.

If you actually look at the average salaries of these groups, the news is perhaps not quite as bad as it could be. For a long time, UCLA and Michigan have had salaries that are substantially above the rest of this group. In fact, UCLA's aren't nearly as attractive as they appear because their purchasing power is not too great. Michigan's are as attractive as they look. At the bottom of this group, Washington and Arizona seem to have a lock on last place.

The differences among the other institutions are not great and, in fact, this year the difference between Illinois' average rank-adjusted salary and Ohio State's is less than \$3,000. The difference between our rank-adjusted salary and Texas and Penn State is only a few hundred. If we had one or two raise years in which our raise was a bit above the average, it wouldn't take a lot to shift our ranking. It's just that we have not been able to do that. As Larry pointed out, we haven't had a raise above five percent since 1995, where other institutions have.

The next table just aggregates this data by rank. The rankings all shift a little bit, but I don't think those are terribly interesting compared to the percentage differences. Our full professors are slightly better off, relative to the benchmark average than our faculty as a whole. Remembering that the rank-adjusted average for Ohio State is 2.9 percent below the benchmark average, assistant professors are somewhat worse off. This is discouraging because it is largely assistant professors that we're recruiting and we are, therefore, much more in direct competition with the market for that group of faculty than for the other two. This was true last year as well, and we have not been able to improve the situation.

The last graph shows how each of our colleges' average salaries across all faculty compare to the benchmark average. Only two colleges – Social and Behavioral Sciences, and Pharmacy -- have salaries that are above that average. We don't have any data for Optometry, Business is at the average, and all the other colleges are below.

Again, if you want to try to find good news in what is not very happy data, most of the colleges that have departments in them that have been selected for Selective Investments are at least not farther below the benchmark average than the

REPORT ON COMPENSATION BENCHMARKS (contd)

Dr. Rudd: (contd)

University as a whole. The notable exception to that is Law, which was selected for Selective Investments this past year and is 10 percent below the benchmark average. That is perhaps the most discouraging data in this table.

That concludes my comments on the competitive position of our faculty salaries.
J --

Mr. John S. Henderson:

When we look at staff salaries, we actually look at them through federal occupational categories. These are set up by the federal government to try to understand where we are paying different groups of personnel. When we look at the managers and administrators, we see that we're slightly above market, but that is misleading considering that we're so much larger than the general market as a whole. So you would expect those positions to actually pay a great deal more than the typical market would for those positions.

The only other area where we appear to be ahead is for clerical and secretarial, which at first confused us. If you turn to the next graph, you'll see what drives the salaries in this area is actually years of service. You see that it takes about 11 years of service to get to market. You'll also notice, it takes about 16-20 years of service to get to where the state average is for these positions. So what's forcing us to look like we're ahead of market in this occupational category, is that we have a great deal of people, about 40-50 percent of all our personnel in this particular category, who have 11 years of service or more, which drives it up.

The next thing we look at is how we're investing our salary dollars. One of the things that we've been trying to do during the past few years is really invest our money responsibly in terms of trying to promote performance and wanting a high performing group. When you look at the next graph, what you'll see is how our salary dollars have actually been distributed during this previous salary increase cycle. You'll notice that not everyone received directly a four percent increase. You'll notice that we've really spread them out, saying, "We want to encourage our performers and we want to pay them more." Therefore, we've actually diverted funding that way.

Also our budget for this last year was about four percent and we allowed different departments to add a half percent of their own money to that in order to increase it. You'll see that we actually increased by 4.3 percent, 4.2 percent, and 4.2 percent respectively, among the different categories of faculty, staff, and classified civil service. This shows that our departments are trying to do what they can to try to catch up to the market because we're really behind.

The next graph we looked at is to try and understand if any of our salary impacts, instead of doing the across-the-board adjustments, has disadvantaged any particular group. When we look at ethnicity, what you'll notice is the charts are very similar in terms of the colors. The colors represent how much of an increase certain parts of the population got -- red is 6 percent; blue is 4.5 to 6 percent; and so on and so forth. They're very consistent in color. The larger thing that we notice is that if you look at minority increases from last year, it's about 4.44 percent, while the non-minority was 4.23 percent. We can say it's not a huge difference there, but we actually are being consistent in how we're doing our increases.

REPORT ON COMPENSATION BENCHMARKS (contd)

Mr. Henderson: (contd)

When we look at gender, we're actually noticing the same sort of pattern, too -- 4.35 percent was the average increase for females, and 4.24 percent was the average increase for males. Again, it's not a huge difference, and we would expect it to be very similar to make sure we're not disadvantaging any group.

For the graduate associates and financial support for them, we look at our net institutional investment. When you consider stipends, fee authorization, medical fees, and everything else, that is how much we're actually investing into our graduate associates. Here we're ranked number six, which sounds like we're really competitive among this group.

If you look at our average financial support -- which is taking out the factors that don't really impact their financial ability to actually live -- the simplest way to put it -- we're excluding tuition and any other types of fees that we're waiving for them. We're really looking at their stipends and even the kind of money we actually give to them, and we're actually thirteenth. That's really the number that most of the graduate associates are going to feel and see. The fee waiving is actually invisible to them, they're really going to be looking at this in terms of what comes to them personally. That's where we're ranked thirteenth. You'll also notice that when you look at medical benefits, we're one of only three universities in our benchmarks that do not actually offer any kind of subsidy for medical benefits. So that is partially what's impacting these numbers.

Mr. Lewellen:

I mentioned that there was a question from the financial benchmarks report last time that the Fiscal Affairs Committee had, and that's what's been happening to our benefits as a percent of payroll. There's a chart in your book that shows benefits expenditures as a percentage for the past 10 years. We speculated last time that that may have gone up somewhat or may have gone down somewhat. We found out that both have happened slightly over the 10 years, but in essence, it's sort of a wash. It's been very consistent over the past 10 years. We'll be glad to take any discussion on that when we're done, but we think that sort of resolves that question.

In summary, Nancy had talked about the faculty salary increases and how we've been slipping in the marketplace and J talked about the staff. The only group that's really advantaged at market or above market is the office clerical group with 15 years of service or more, and that is only because of their long service. Otherwise, we generally are 10 percent behind market or more for staff groups.

Then we've seen for graduate associates that we invest well in graduate associates, but as far as their level of support...[missing dialogue]

Ms. Hendricks:

If you look at this salary of 11 to 15 years of service, is this relative to an average benchmark in that category?

Mr. Lewellen:

That's a very good question. There is no market data available for other employers showing what an 11-year office secretary gets paid, or a five-year data entry clerk gets paid. This is merely saying, we know the market average out there, we're just looking at how much service does it take before an individual

April 6, 2001 meeting, Board of Trustees

REPORT ON COMPENSATION BENCHMARKS (contd)

Mr. Lewellen: (contd)

actually gets to the market average. We can't compare our person's service by somebody else's service.

Provost Ray:

What we don't have an answer to is what the longevity profile looks like for employers locally and elsewhere.

Ms. Hendricks:

This experience is to me very typical, that your younger people are working up towards an average. Is distribution based on what I've seen in this profile? That's why I was asking.

Provost Ray:

That's what we don't know.

Mr. Lewellen:

We do know, in general, from salary surveys, but we don't know from other specific employers. We do know, in general, that for mid-level staff positions, normally employers try to get people to market in five to seven years. To take 11 to 15 years is unusually long.

Mr. Brennan:

Nancy, in relationship to your report on the comparative faculty salaries -- maybe this is considered not necessary, but I'm curious -- do you do anything to track why people leave us? Do they go to a place that pays more money? Or do we know that?

Dr. Rudd:

We have not done that to present, but we do have a proposal which is presently working its way through University committees to begin doing exit interviews. Hopefully that will begin next year. It is motivated as much to determine why we lose women and minority faculty for other reasons, but we will be trying to track why both faculty and staff leave the University.

Mr. Brennan:

Excellent. You look at Arizona and, obviously, sunshine is a form of compensation.

Dr. Rudd:

Well, it used to be true. Wisconsin -- because they had a number of big raise years, now they're more towards the high end of the benchmark group -- for years was near the bottom and yet people stayed. So there was something else going on there.

Mr. Brennan:

Thank you.

REPORT ON COMPENSATION BENCHMARKS (contd)

Mr. Skestos:

Any other questions? Jaclyn --

Ms. Nowakowski:

For financial support for graduate students, can that be done on a University-wide level? Or is it, at this point, done more department by department, in terms of larger stipends and medical benefits?

Provost Ray:

We do a couple of things. Obviously at the University-level we can set some guidelines for all of the colleges and departments, and we do -- minimum stipends. One of the things that we're talking about now is what is the minimum stipend and do we need to make changes in that? That's under discussion.

Each department and college has to think about its own benchmark institutions and competition and, the kinds of stipends that they have to offer and the range is really quite dramatic. It ranges from below \$900 a month to well over \$1,800 a month, depending upon what area you're in. So there has to be both local and central responsibility for setting those figures.

Mr. Skestos:

Any other questions? Yes, Kevin --

Mr. Filiatraut:

When a college comes to you with a proposed tuition increase, is there an inquiry made into the level of compensation for the faculty comparatively amongst different colleges? For instance, the law school had a 19 percent raise last year, but their faculty are still 10 percent below market average. Can that number be raised? Can their faculty pay be made more competitive?

Provost Ray:

Actually we do something more comprehensive than that. What we ask a college to do when they ask for differential tuition increases is to, in fact, file a plan with us on what differential increases they want. What we've agreed to in recent years is, anything that they propose to charge above the standard charge at the University, five percent at the graduate professional level, we give back to the college for the purposes of implementing the college-specific plan. The things they talk about within that plan are, in fact, doing salary adjustments, but also the kinds of services, equipment, and other sorts of benefits that ought to accrue to students who are being asked to pay that extra money.

One of the things I've learned from experience that you do when somebody says they want to charge more is you tell them to go talk to their students. Tell the students what it is you're going to do and why, and make sure when you come back to me you can tell me you've discussed this with your students, that they understand what they're being asked to do, and that they're getting value for what they're being asked to pay. So whether it's Law, Business, or anybody else, they've provided us with a plan for how they intend to use those dollars.

Law is an interesting example, because we always have discussions in the University about how do salaries compare across the University. I can tell you

REPORT ON COMPENSATION BENCHMARKS (contd)

Provost Ray: (contd)

that people in Humanities aren't very sympathetic about people in Law being 10 percent below the market. People in Law are at about 150 percent of the University average, and people in Humanities are substantially below the University average.

What you find consistent with the notion that we're struggling to crack the market in terms of compensation, if you think about it for a moment – if you're lagging the market, you're likely to lag the market most where the market is moving most quickly and aggressively. So not surprisingly, it's often in those areas like Law where the markets are moving fast. That, in fact, we're failing to track even more dramatically than we are in others, even though relative to their colleagues they may be getting compensated pretty well.

Mr. Skestos:

Any other questions? If not, thank you very much.

(Appendix XXXVI for background information, page 861.)

--0--

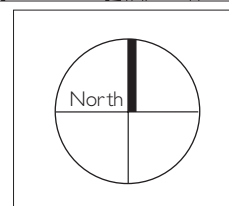
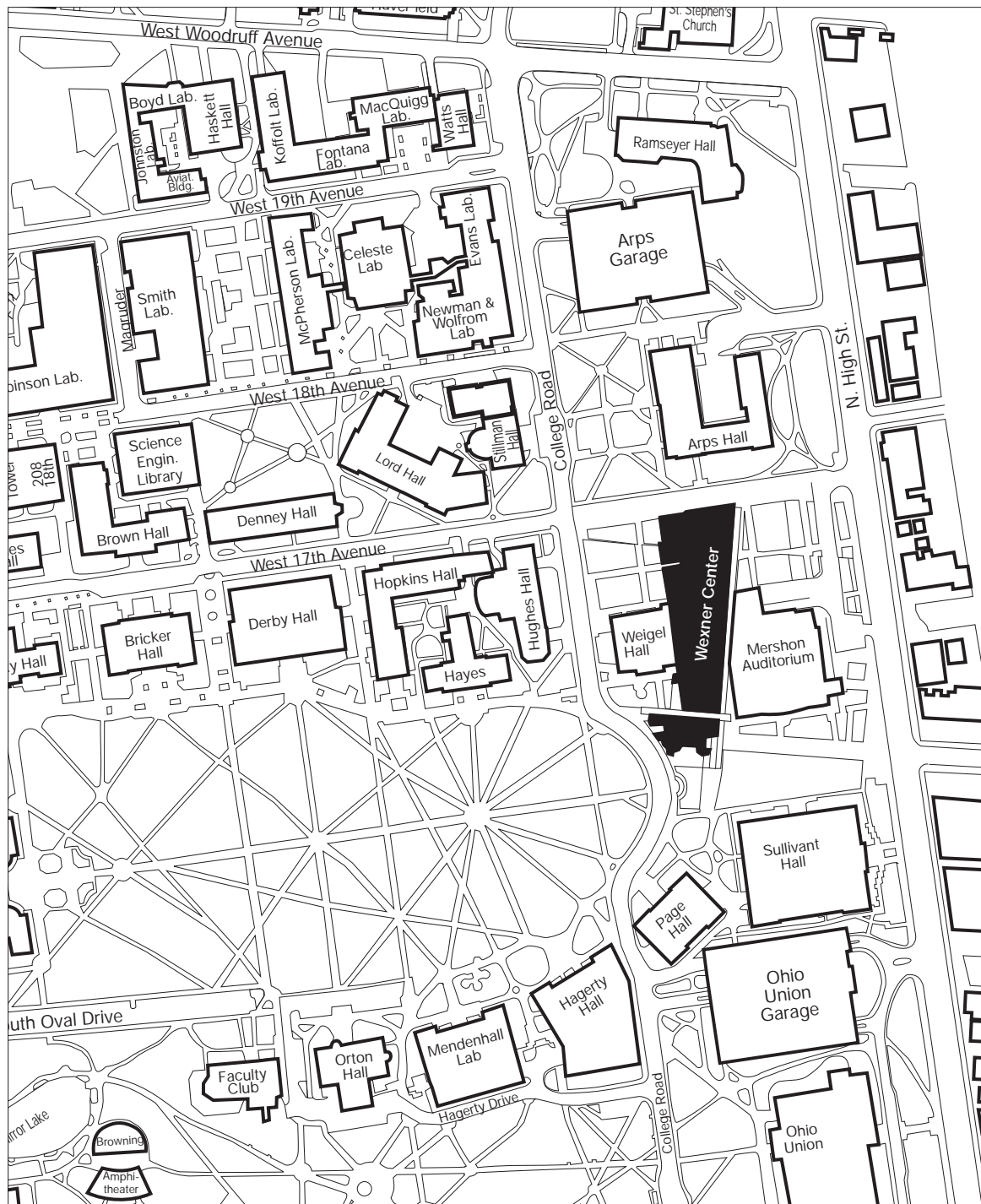
Thereupon the Board adjourned to meet Friday, May 4, 2001, at The Ohio State University Longaberger Alumni House, Columbus, Ohio.

Attest:

William J. Napier
Secretary

George A. Skestos
Chairman

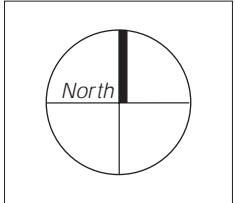
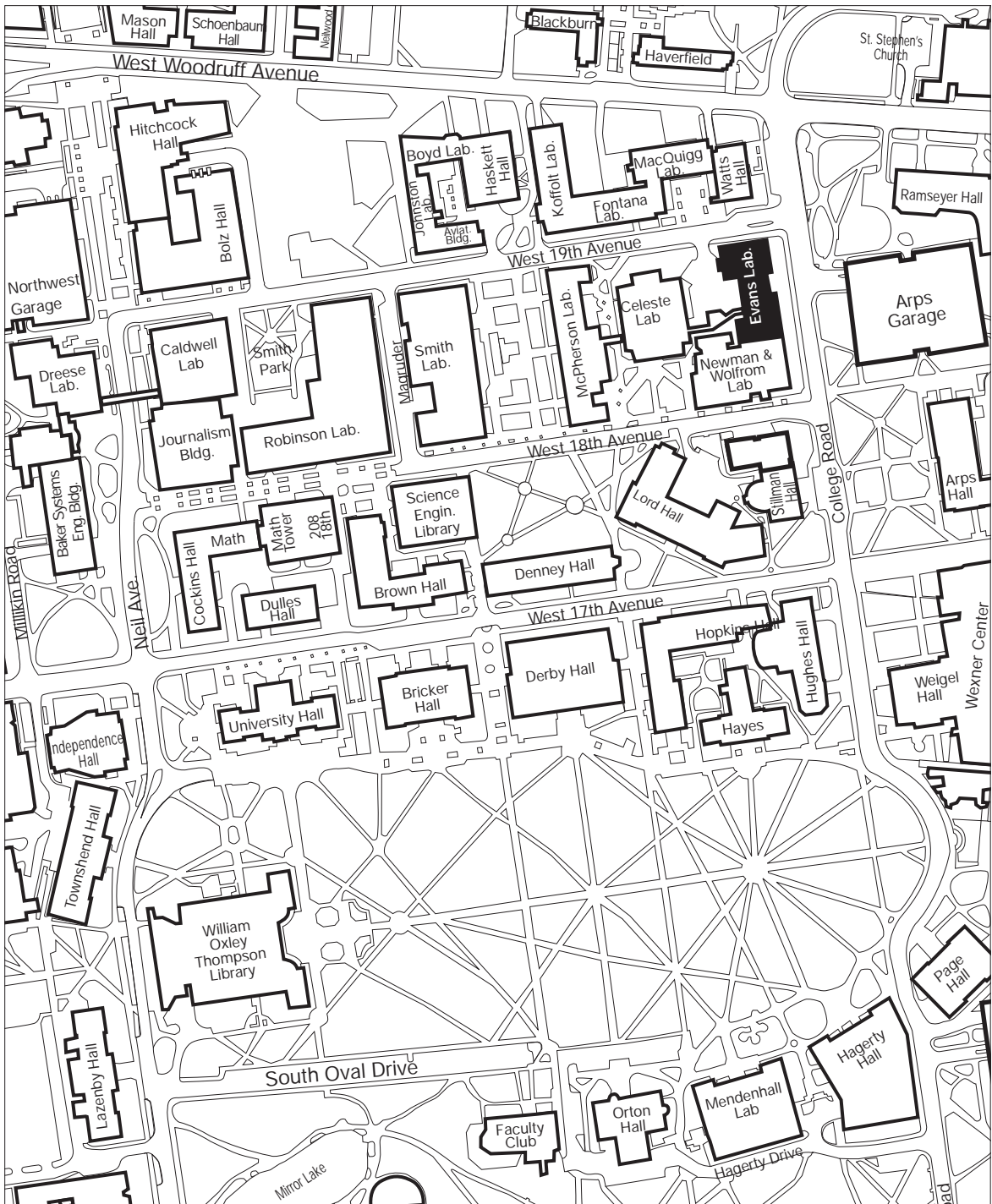
Wexner Center - Building Renovations



Office of Business and Finance
Office of Facilities Planning and Development

December 9, 2000

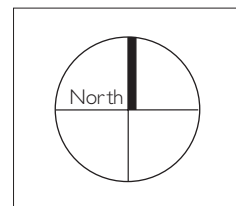
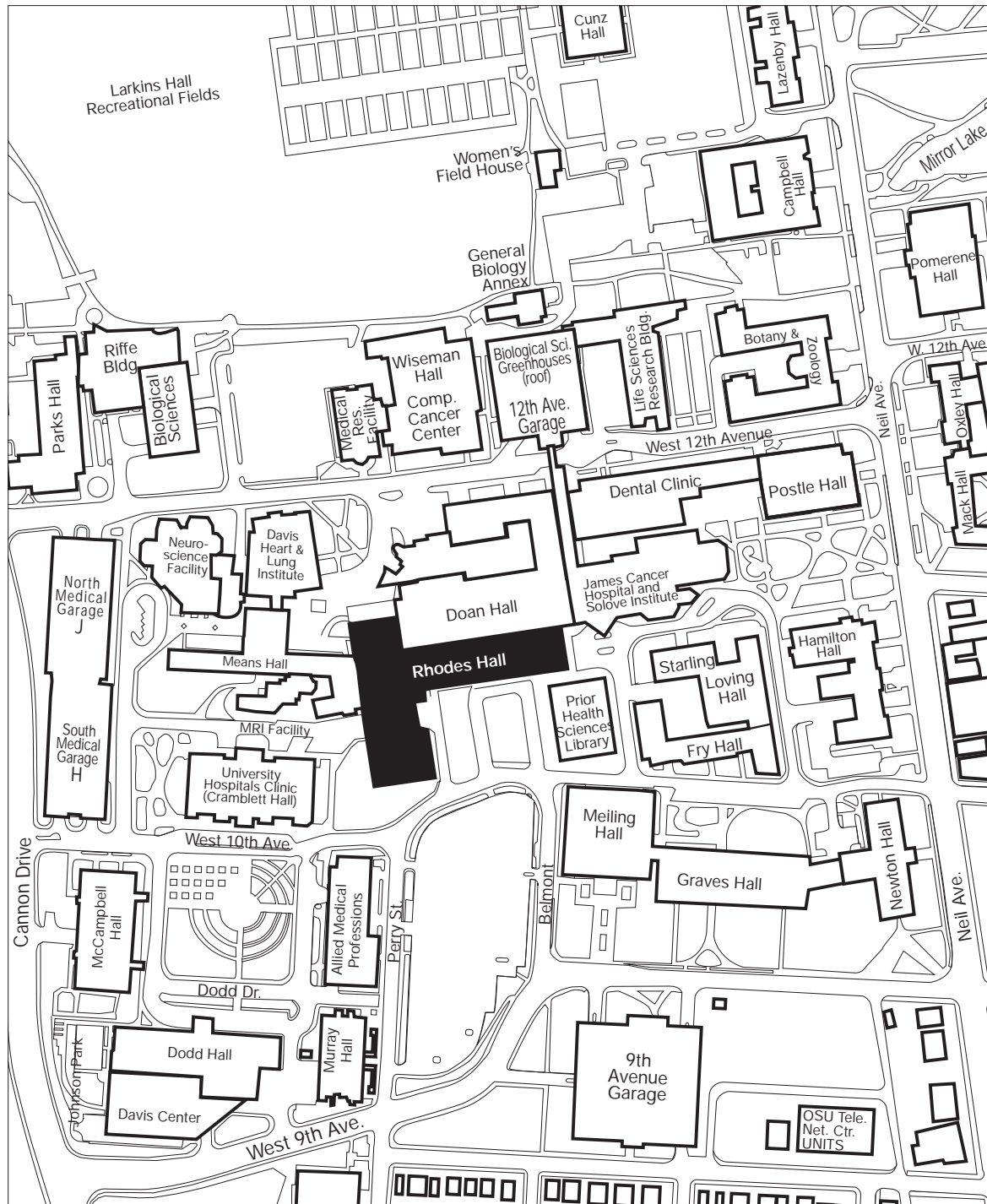
Evans Laboratory Lecture Room Renovation



Office of Business and Finance
Office of Facilities Planning and Development

August 1, 2000

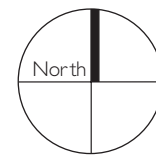
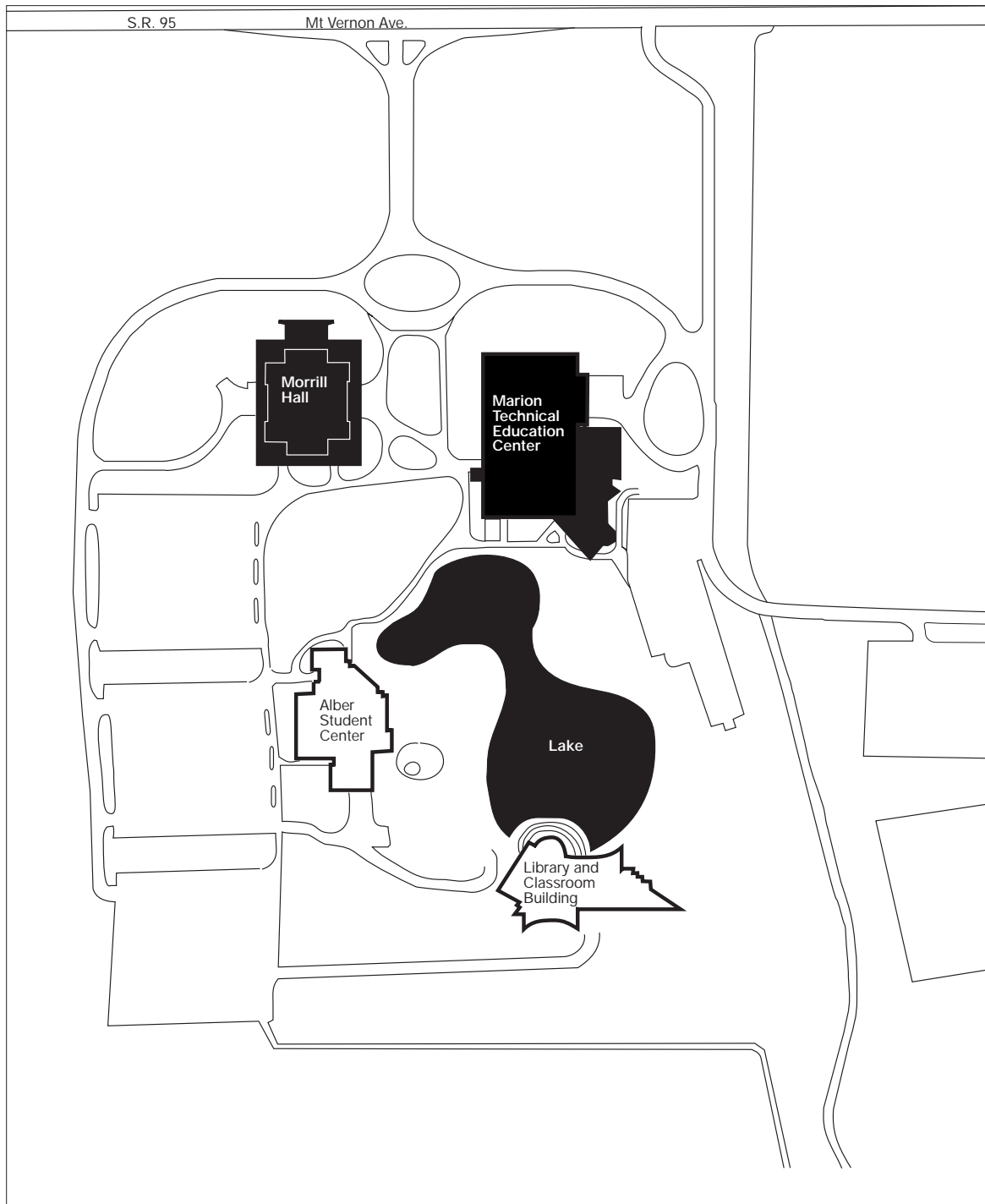
Rhodes Hall - Complete Shelled Space



Office of Business and Finance
Office of Facilities Planning and Development

March 20, 2001

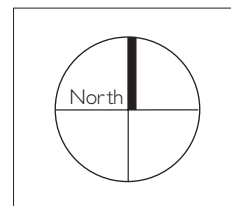
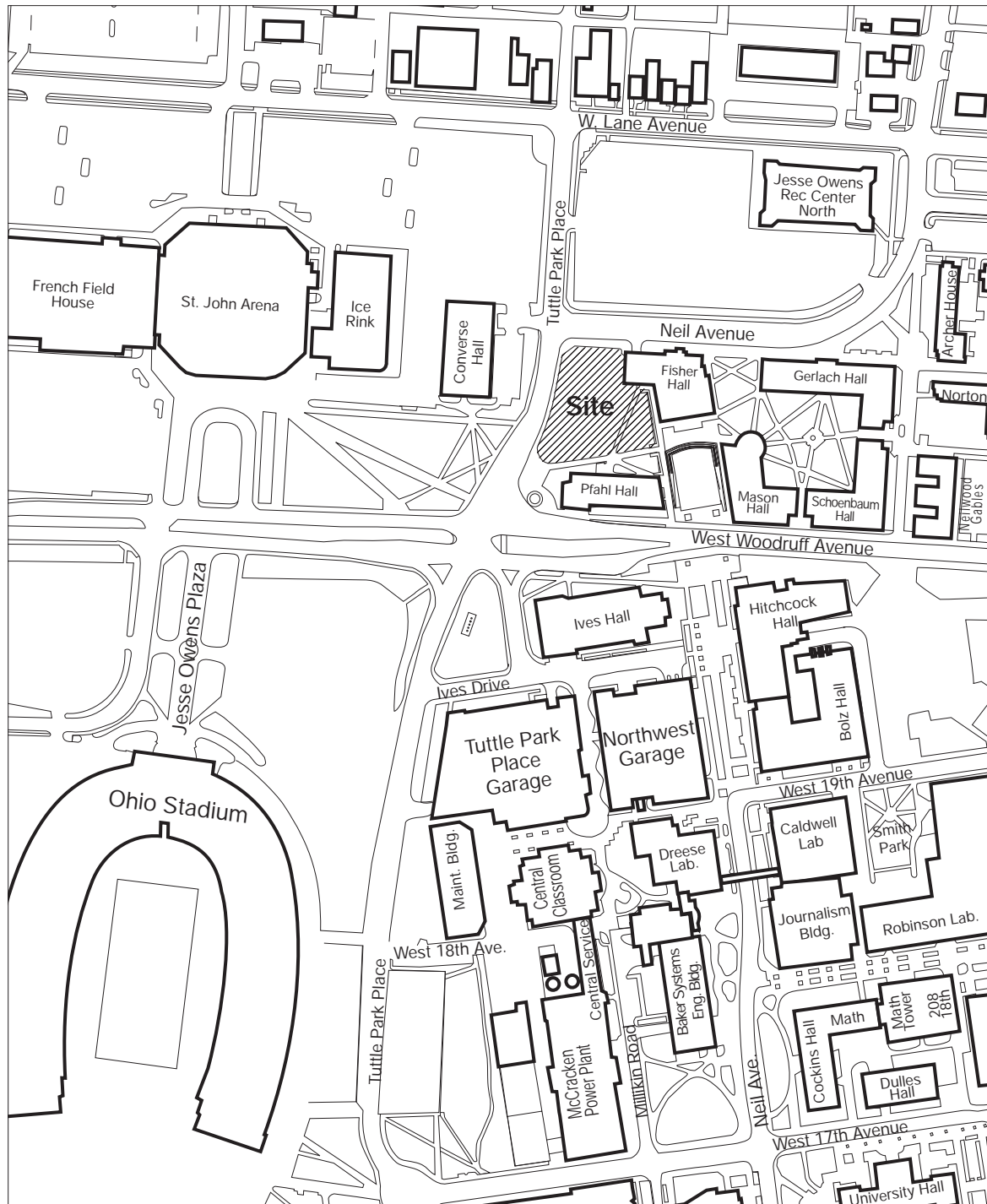
Marion Campus - Renovations



Office of Business and Finance
Office of the University Architect and Physical Planning

March 20, 2001

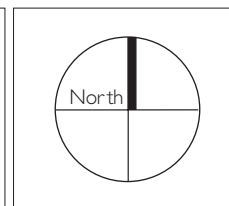
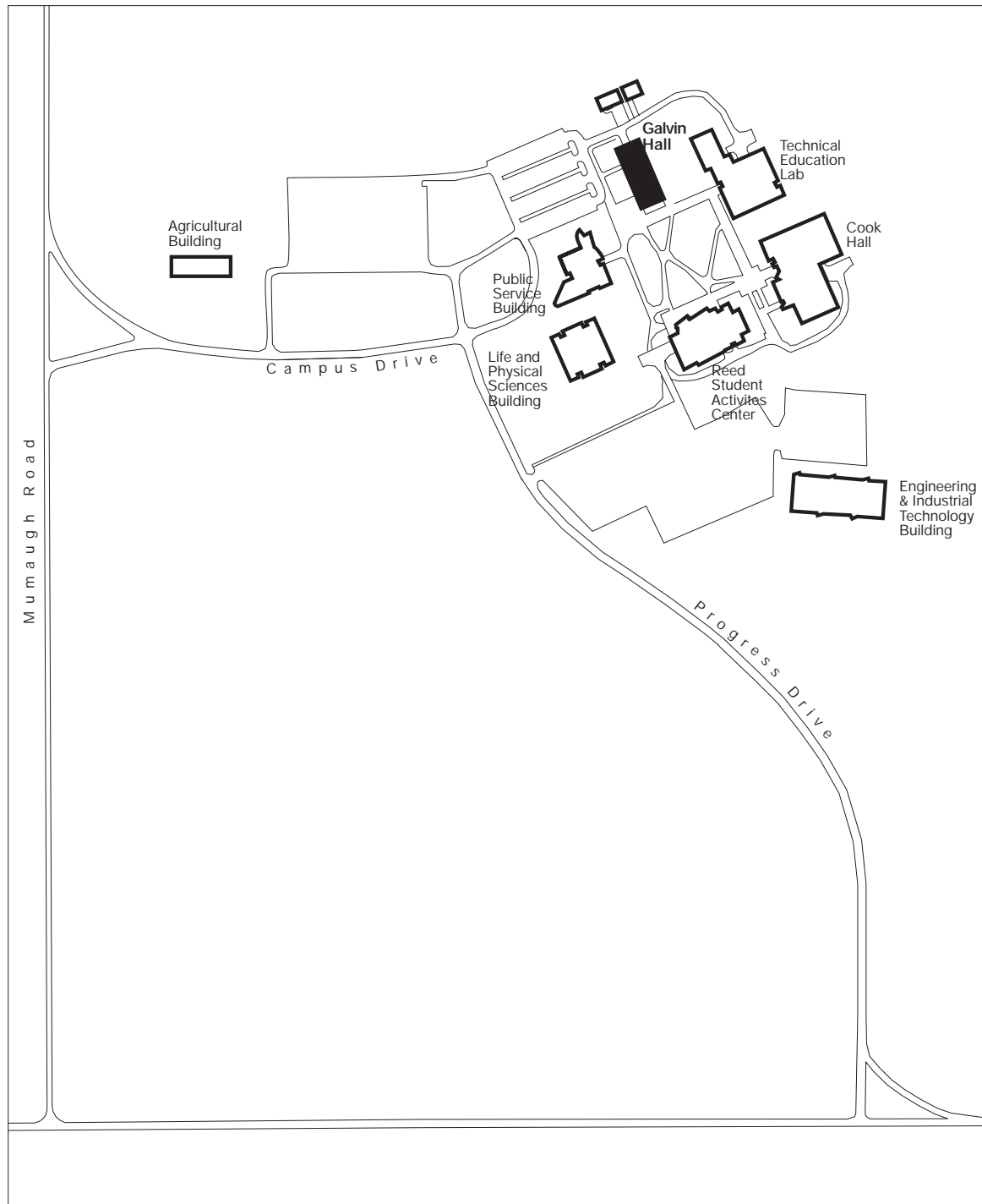
Fisher College of Business - Executive Residence



Office of Business and Finance
Office of Facilities Planning and Development

January 11, 2001

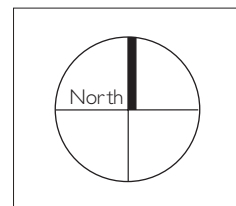
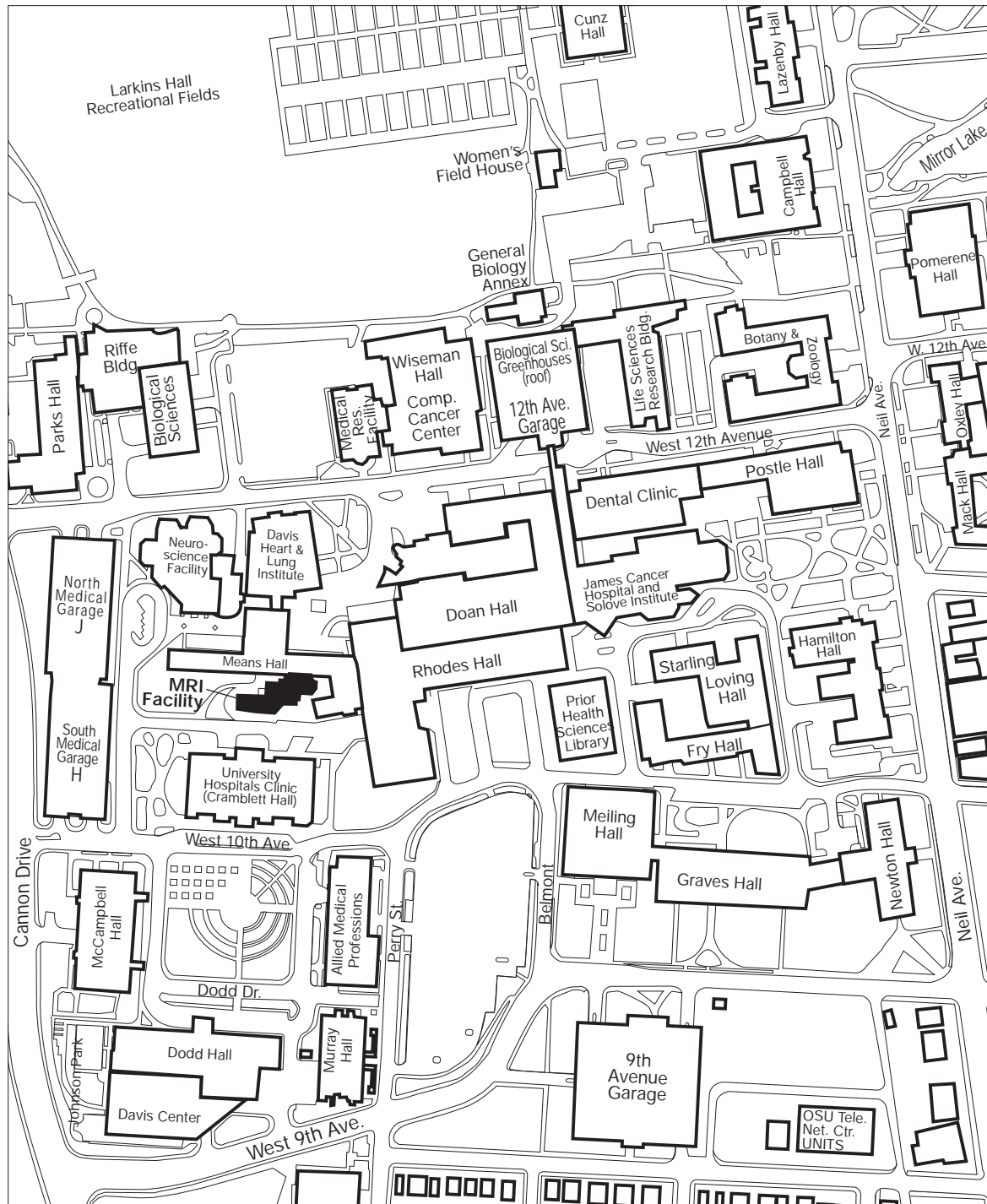
Lima - Galvin Hall Third Floor Renovation



Office of Business and Finance
Office of Facilities Planning and Development

December 9, 2000

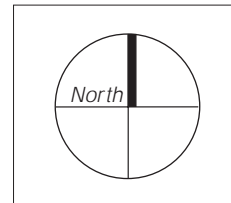
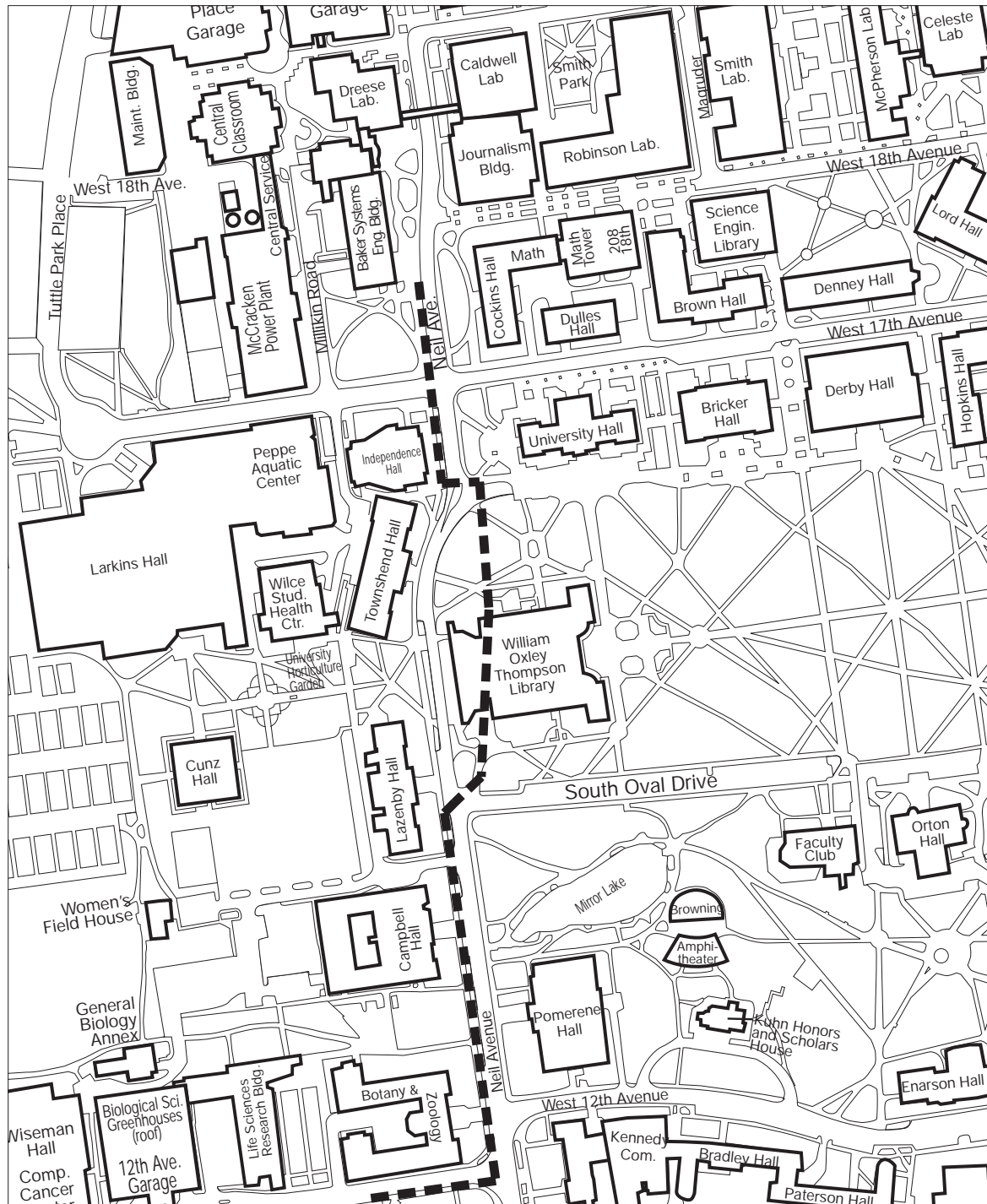
MRI - Clinical Facility Expansion



Office of Business and Finance
Office of Facilities Planning and Development

March 20, 2001

Utilities Steam Line Upgrade



Office of Business and Finance
Office of Facilities Planning and Development

November 10, 2000



Compensation Benchmarks

Report to the Board of Trustees

April 6, 2001

Office of Human Resources

(APPENDIX XXXVI)



Critical Questions:

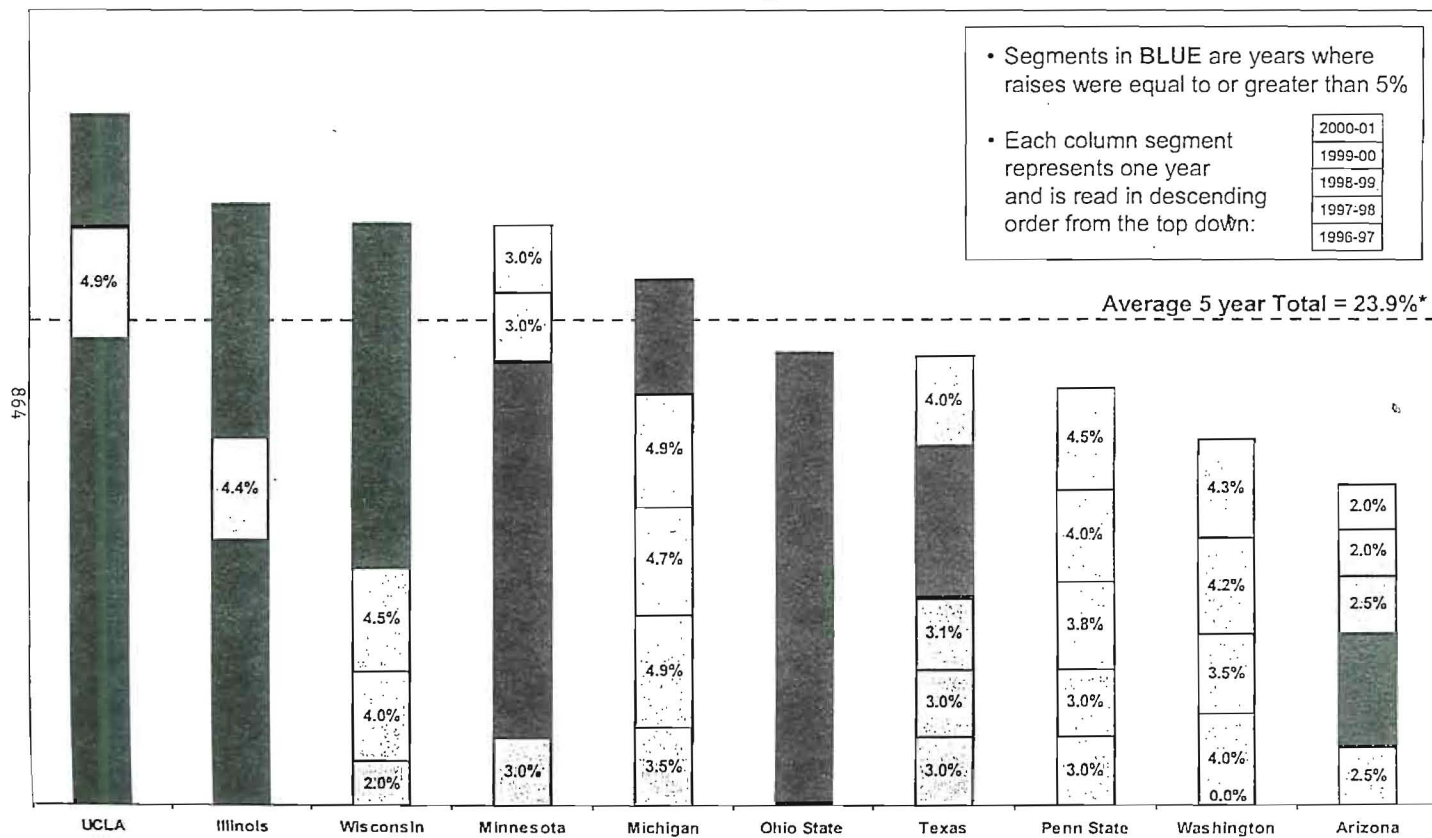
- How is the market moving?
- How do we compare to the market?
- How are we investing our salary dollars?
- How does our financial support for Graduate Associates compare?
- What is our history of the cost of benefits as a percent of payroll?



How is the market moving?

- Five year increase budget history
- Outlook for fiscal year 2001

**The Ohio State University
Public Benchmark Institutions
Faculty Salary Increase Budget
1996-97 through 2000-01**



* Average includes benchmark institutions and Ohio State

Competitive Salary Markets Outlook
Fiscal Year 2000-01

National - All employer groups 3.9% to 4.5%

Ohio - All employer groups 4% to 4.3%

National - Higher Education &
Non-Profits 2.8% to 3.9%

State Government of Ohio 3.5%

Columbus, Ohio 4%

IUC - Ohio - Higher Education 2% to 4.5%

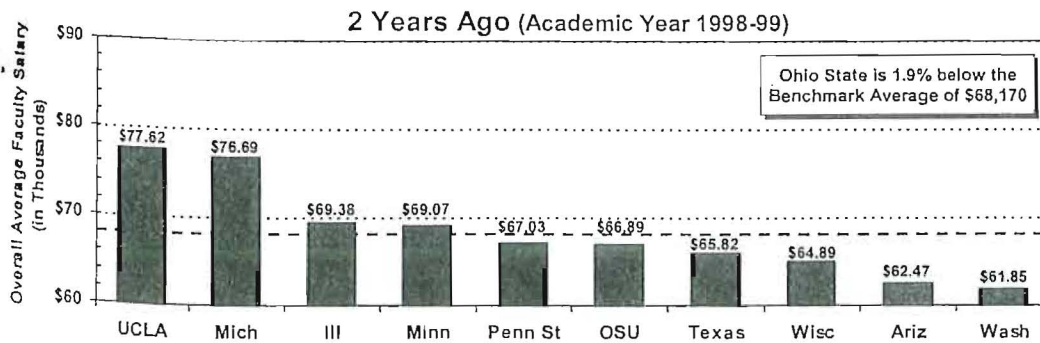
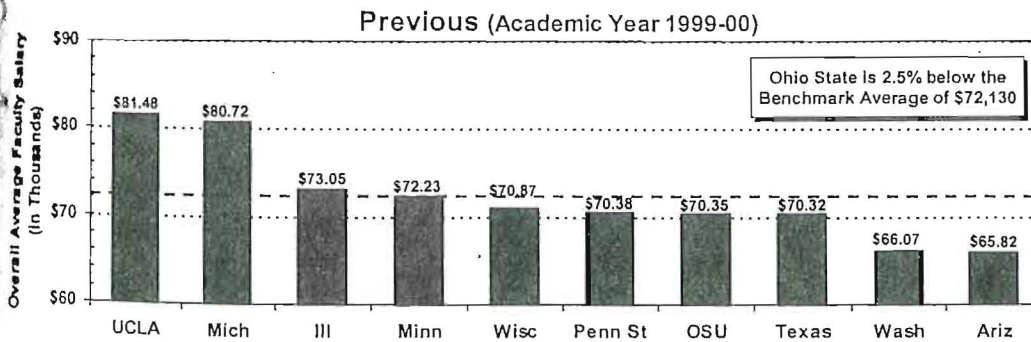
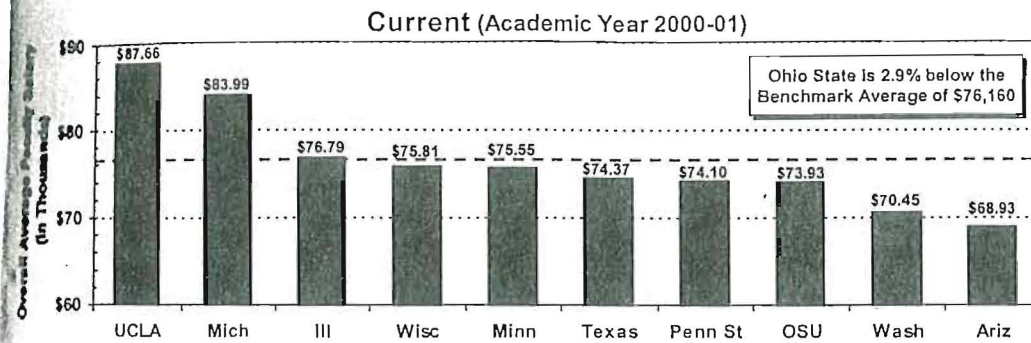
865



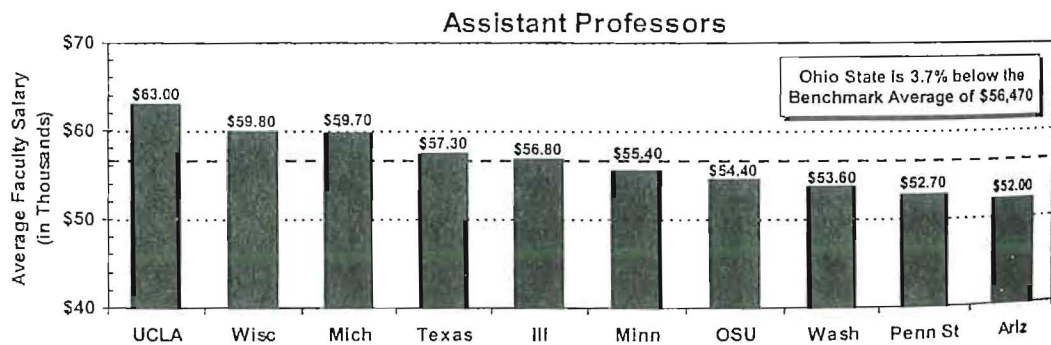
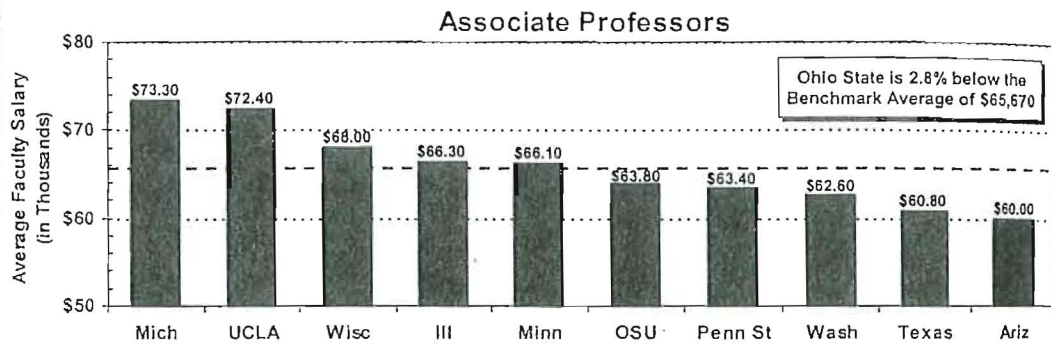
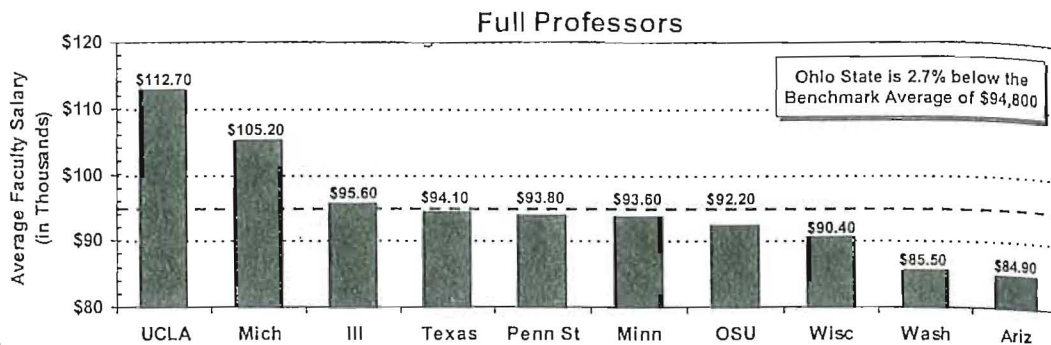
How do we compare to the market?

- Faculty Compensation:
 - ↓ Comparative salary analysis, 1998 - present
 - ↓ Salary analysis by rank
 - ↓ Salary analysis by college
- Staff Compensation:
 - ↓ Staff Compensation by occupational category
 - ↓ Clerical and Secretarial staff by years of service

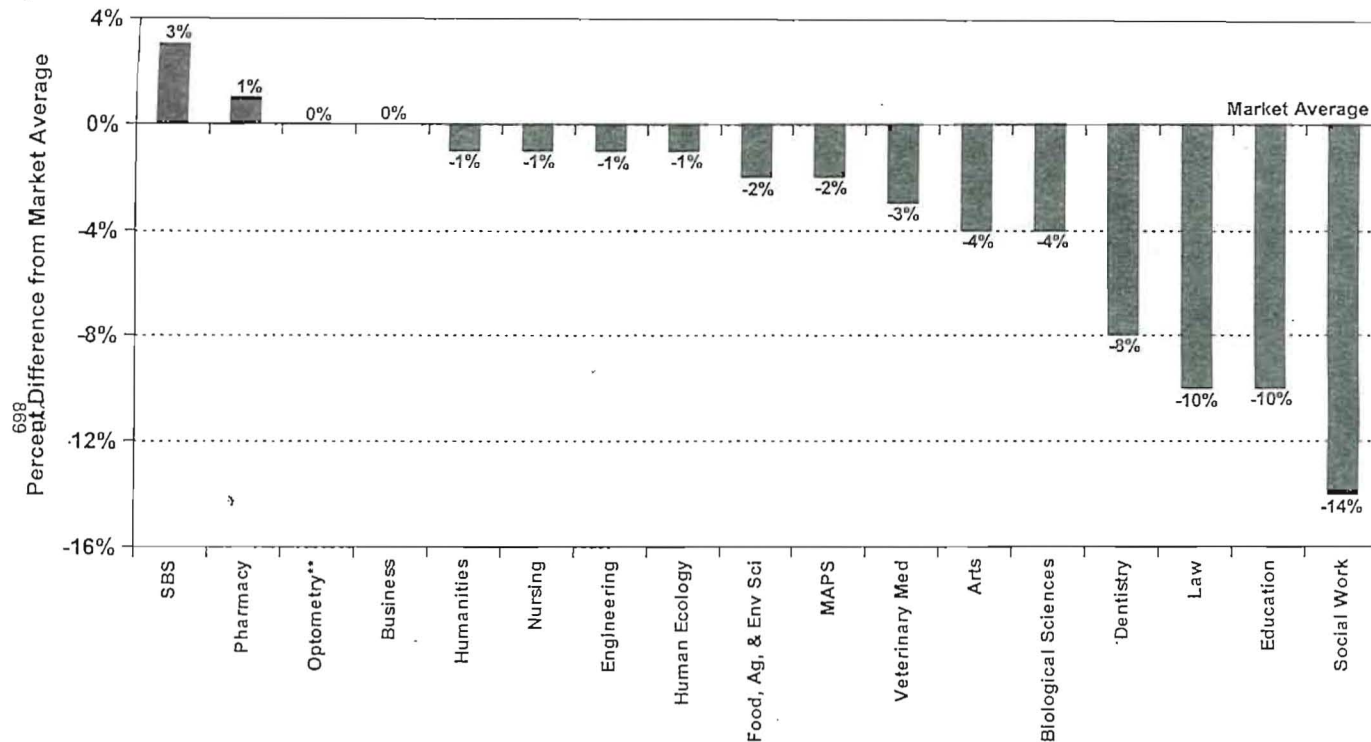
The Ohio State University Comparative Faculty Salary Analysis Benchmark Universities Overall Average Salaries (in Thousands)



The Ohio State University
Comparative Faculty Salary Analysis
Benchmark Universities
Academic Year 2000-01 Average Salaries by Rank (in Thousands)



**The Ohio State University
Faculty Salary by College
2000-01 Comparison with Public Benchmark Universities***



Notes: Percentage > 0 indicates average salary above market average.

** Optometry's percentage is 0 because there are no other institutions in the benchmark group for this college.

2000-01 salaries unavailable so 1999-00 salaries were aged using each institution's 2000-01 average faculty salary increase.

* Public Benchmark Universities (Excluding College of Medicine):

Ohio State
Arizona

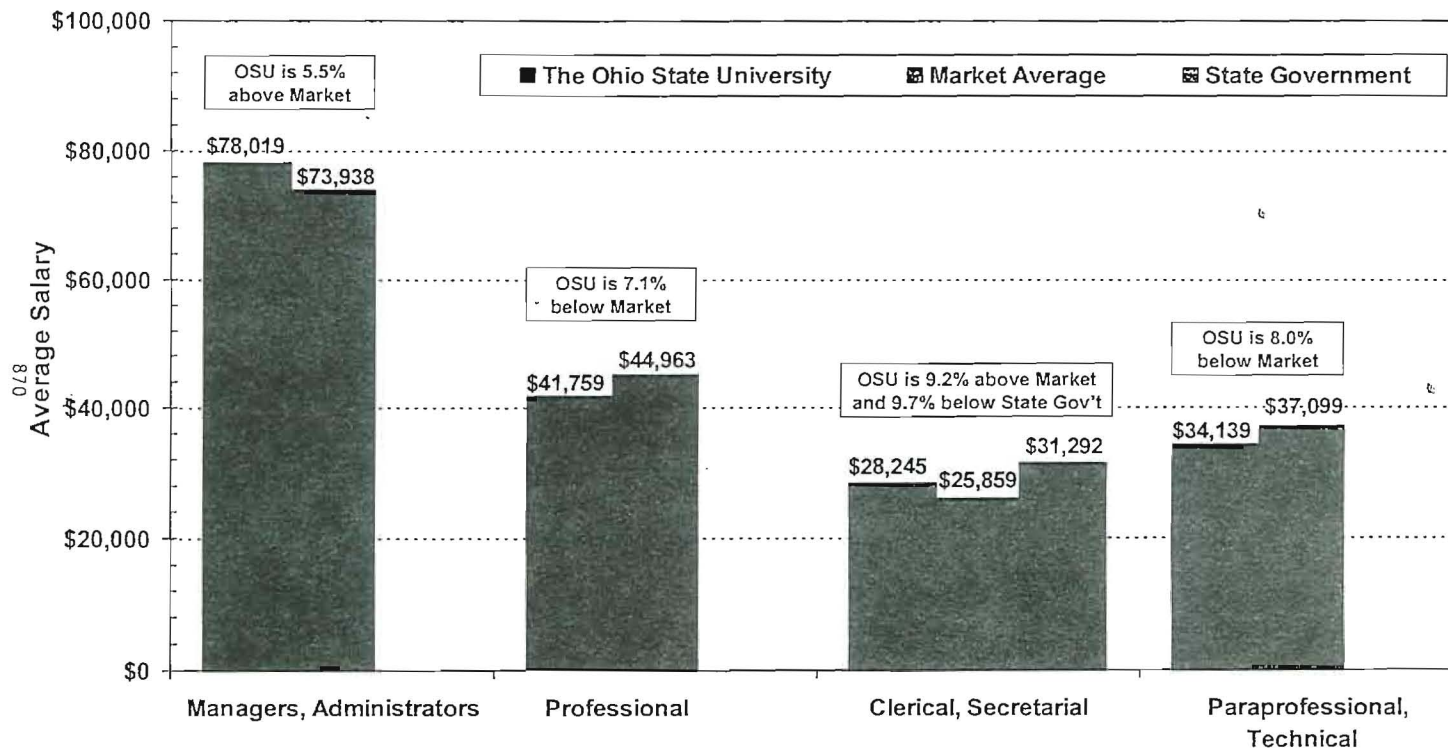
Illinois
Michigan #

Minnesota
Penn State #

Texas-Austin
UCLA #

Washington
Wisconsin

The Ohio State University
Fiscal Year 2000-01 Comparative Staff Salary Analysis
Positions Matched to Market
Adjusted for Benefits by Occupation Category



Notes:

Ohio State: Average of positions matched to market; Excludes bargaining unit members, Hospitals, term and temporary employees.

Market Average: Composite of salaries of local/regional employers for positions matched to market.

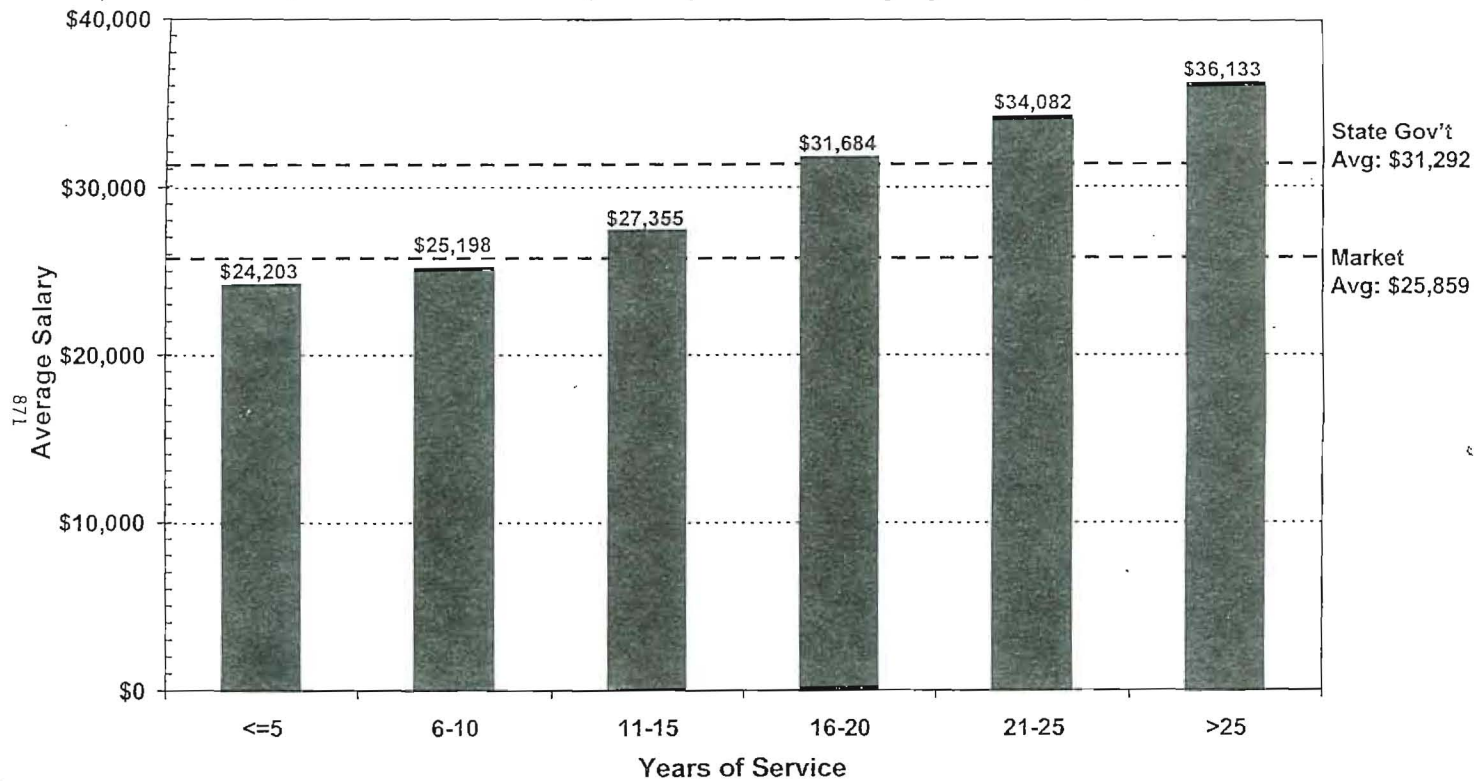
State Government: Average of positions matched to market.

Benefits Adjustment: Average salaries adjusted for difference in benefit packages by applying factor of .97 to Market salaries.

Managers, Administrators represents 556 employees (7%); Professional: 4,007 (49%); Clerical, Secretarial: 2,500 (31%); and Paraprofessional, Technical: 1,084 (13%).

The Ohio State University
Fiscal Year 2000-01 Staff Comparative Salary Analysis
Positions Matched to Market

Adjusted for Benefits by Occupational Category: Clerical, Secretarial



Notes:

Ohio State: Average of positions matched to market; Excludes bargaining unit members, Hospitals, term and temporary employees.

Market Average: Composite of salaries of local/regional employers for positions matched to market.

State Government: Average of positions matched to market.

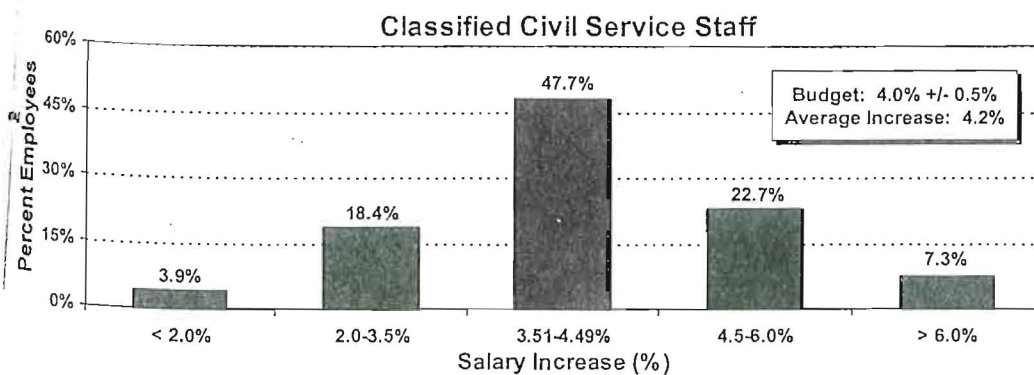
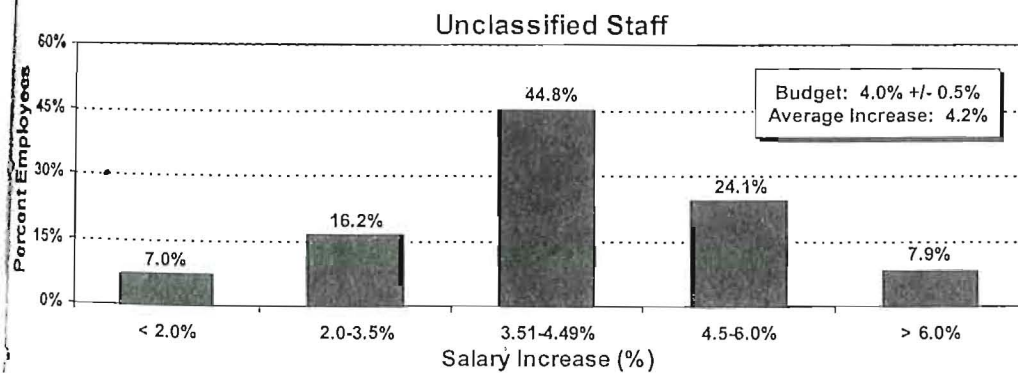
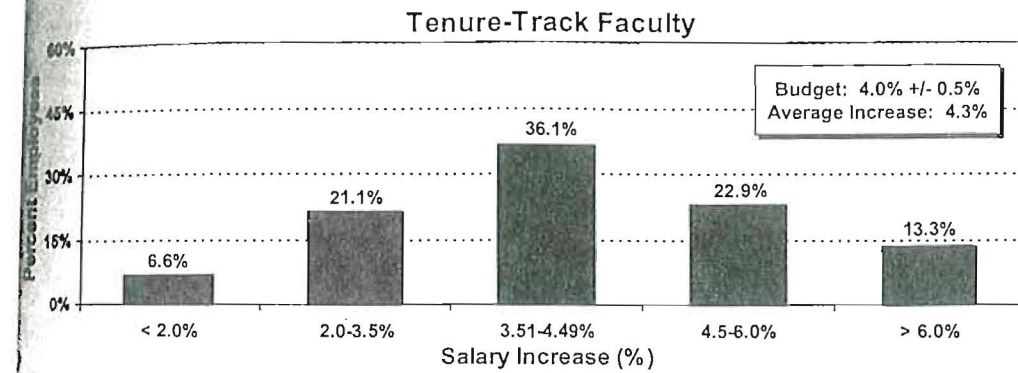
Benefits Adjustment: Average salaries adjusted for difference in benefit packages by applying factor of .97 to Market salaries.



How are we investing our salary dollars?

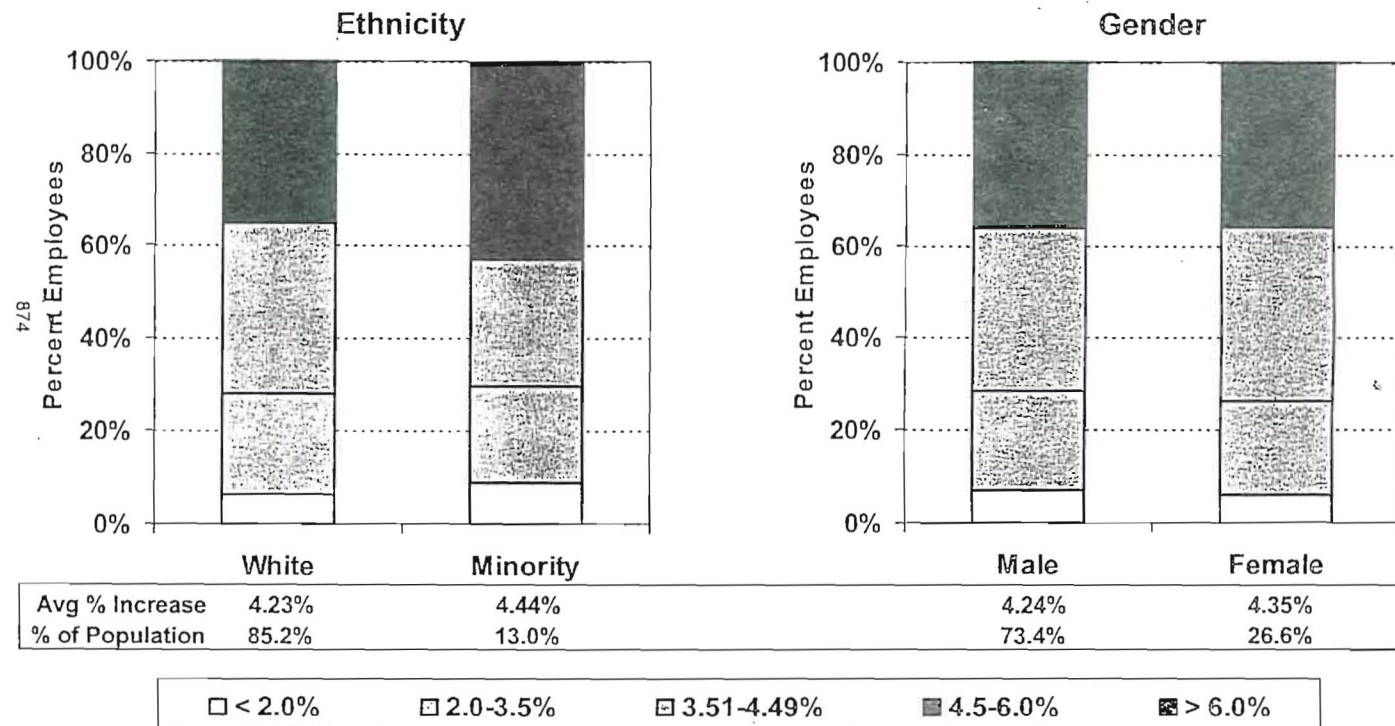
- Fiscal year 2001 raise distribution by classification
- Average faculty salary increases by minority status and gender

**The Ohio State University
Salary Increase Process
Fiscal Year 2000-01 Raise Distribution**



The Ohio State University
Fiscal Year 2000-01 Salary Increase Distribution
By Ethnicity and Gender

Tenure-Track Faculty





How does the overall financial package for GA's compare?

- Graduate Associate financial support summary

**Summary of Graduate Associate Financial Support
Benchmark and Public CIC Institutions
Stipends, Fees, Fee Authorization and Medical Benefits for Autumn 1999**

All Graduate Associates Combined

Resident Students

<u>Institution</u>	<u>Average Stipend</u>	<u>Total Fee Authorization</u>	<u>Medical Benefits</u>	<u>Average Fees</u>	<u>Net Institutional Investment</u>	<u>(Rank)</u>	<u>Average Net Financial Support</u>	<u>(Rank)</u>
C	12,176	10,501	2,403	218	24,862	(1)	14,361	(1)
N*	14,843	106	1,588	3,414	13,123	(11)	13,017	(2)
D	11,170	4,958	2,502	658	17,972	(2)	13,014	(3)
I	11,970	5,160	1,765	1,012	17,883	(3)	12,723	(4)
G	10,853	5,040	2,144	882	17,155	(4)	12,115	(5)
E*	12,076	2,984	812	790	15,082	(7)	12,098	(5)
L	13,891	3,077	0	1,904	15,064	(8)	11,987	(7)
B	11,416	5,230	541	160	17,027	(5)	11,797	(8)
H	10,826	1,162	2,653	1,720	12,921	(12)	11,759	(9)
M	13,034	0	783	2,304	11,513	(13)	11,513	(10)
K*	11,287	3,327	726	1,493	13,847	(9)	10,520	(11)
J	11,805	2,990	0	1,336	13,459	(10)	10,469	(12)
Ohio State	10,482	5,157	0	207	15,432	(6)	10,275	(13)
F*	9,318	2,464	474	882	11,374	(14)	8,910	(14)

Nonresident Students

<u>Institution</u>	<u>Average Stipend</u>	<u>Total Fee Authorization</u>	<u>Medical Benefits</u>	<u>Average Fees</u>	<u>Net Institutional Investment</u>	<u>(Rank)</u>	<u>Average Net Financial Support</u>	<u>(Rank)</u>
C	12,176	21,107	2,403	218	35,468	(1)	14,361	(1)
N*	14,843	7,460	1,588	3,414	20,477	(8)	13,017	(2)
D	11,170	16,662	2,502	658	29,676	(2)	13,014	(3)
I	11,970	13,133	1,765	1,012	25,856	(3)	12,723	(4)
E*	12,076	11,608	812	790	23,706	(4)	12,098	(5)
G	10,853	9,900	2,144	912	21,985	(7)	12,085	(6)
L	13,891	11,322	0	1,904	23,309	(6)	11,987	(7)
B	11,416	5,230	541	160	17,027	(11)	11,797	(8)
H	10,826	5,050	2,653	1,720	16,809	(13)	11,759	(9)
M	13,034	7,152	783	2,304	18,665	(9)	11,513	(10)
K*	11,287	6,138	726	1,493	16,658	(14)	10,520	(11)
J	11,805	7,758	0	1,336	18,227	(10)	10,469	(12)
Ohio State	10,482	13,380	0	207	23,655	(5)	10,275	(13)
F*	9,318	7,994	474	882	16,904	(12)	8,910	(14)

Notes: * Non-Benchmark Institutions.

Data represents information for 9/10 month appointments.

Net Institutional Investment = Stipend + Fee Authorization + Medical Benefits - Fees.

Average Net Financial Support = Stipend + Medical Benefits - Fees.

Stipend, fee and fee authorization data for Penn State is as of AU 1998, as data for AU 1999 was unavailable.

Medical: Where multiple plans available, most common plan is reflected. If range of premiums, midpoint reflected.

Premiums represent composite of 80% single / 20% family coverage. UCLA's premium from AU 1998.

Fees include yearly parking fees most appropriate for GA. Where range provided, lowest cost used. Iowa not available.

UCLA's fees and fee authorization are based on 12 credit hours vs. 9 for other institutions.

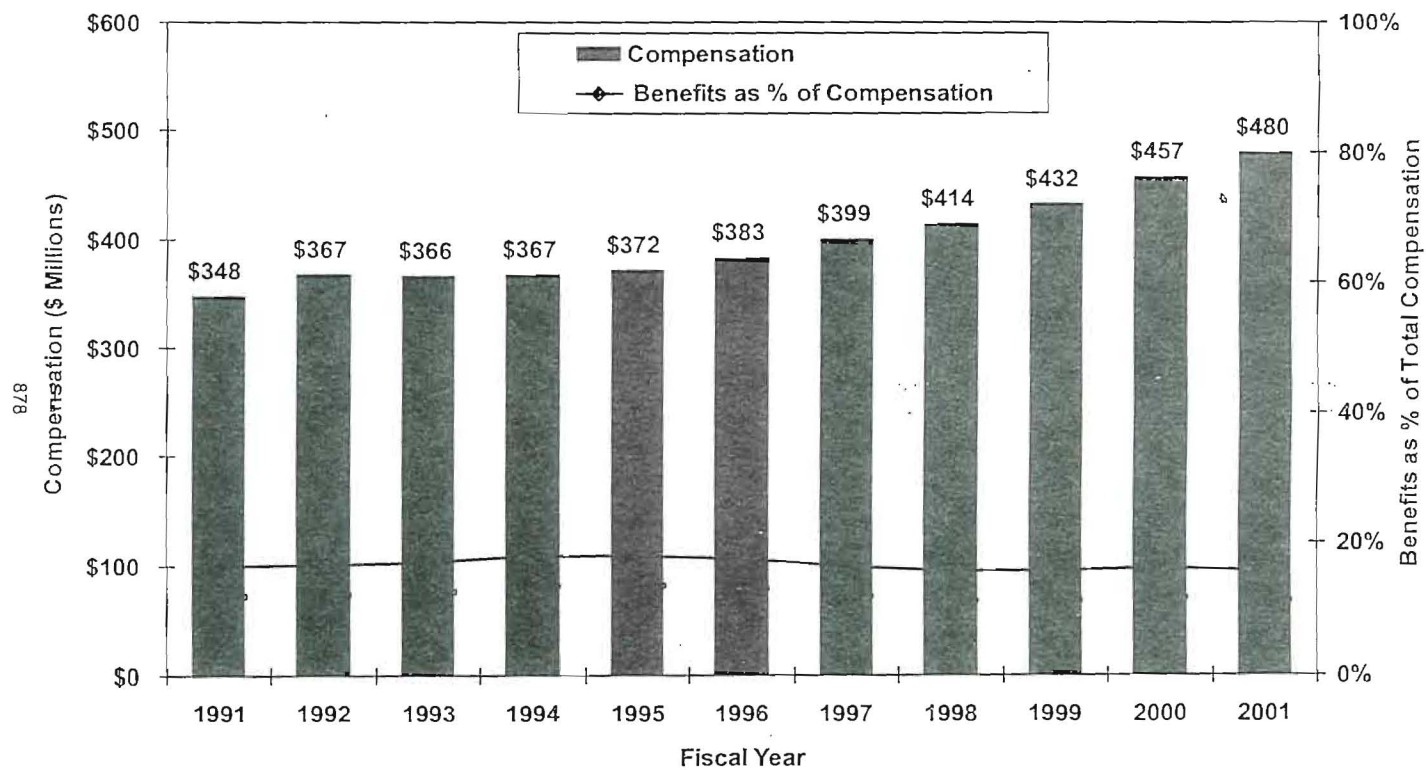
Sources: AAUDE Survey of Graduate Stipends, 1999-00 and 1998-99; medical premiums and parking fees - phone/web.



What is our history of the cost of benefits as a percent of payroll?

- Ten year history of Benefits as a % of payroll

The Ohio State University
Benefits Expenditures as a Percentage of Total Compensation Expenditures
Fiscal Year 1990-91 through 2000-01



Source: General Funds Budget Model

Notes: Population includes anyone paid through General Funds at the Columbus campus

Benefits Included are those used to calculate the Composite Rates: Retirement Plans, Medical Plans, Vision, Dental, Group Life, LT Disability, Unemployment Comp, Workers Comp, Dependent and Employee Fee Authorizations



Summary

- Our salary increases have been trailing the market
- Market will increase by approximately 4.0%
- Faculty salary ranking among benchmark institutions has slipped to 8 out of 10
- 13 of 17 colleges are below market for faculty salaries
- We continue to differentiate salaries based on performance



Summary (continued)

- Net institutional investment for Graduate Associates is competitive; however, net financial support is not
- We are among only 3 of 14 comparison institutions that do not provide any medical benefit subsidy to Graduate Associates
- Benefits cost as a percent of salary has remained steady during the past 10 years